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A Review of the Extended School Services Program

Research Report No. 353

Prepared by

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Foreword

In December 2006, the Education Assessment and Accountability Review Subcommittee approved a research agenda for the Office of Education Accountability that included a review of the Extended School Services (ESS) program.

This report provides an overview of the ESS program, along with review of best practices and literature, analysis of funding and expenditures within the program, and analysis of the program as implemented across the state.

Office of Education Accountability staff would like to thank the Kentucky Department of Education's Division of Secondary and Virtual Learning for providing the necessary data to complete the analysis presented in this report.

                                                   Robert Sherman
                                                   Director

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Summary

The purpose of this study is to provide an analysis of the Extended School Services (ESS) program as part of the Office of Education Accountability's 2007 research agenda. The research includes the following content:

- review of best practices found in education literature;
- analysis of staffing, funding, and expenditures within the program;
- analysis of the program as implemented across the state, and;
- recommendations for program improvement.

This study provides an in-depth analysis of a program that has significant potential to assist struggling students throughout the Commonwealth. Intervention with students struggling academically is an essential characteristic of high-performing schools. Research staff observed a number of schools using ESS funds in ways consistent with best practices prescribed in the literature. However, this research found that large numbers of schools, especially at the middle and high school levels, are using ESS funds in ways that have not been proven to increase student academic achievement.

A major conclusion of this study is that the current ESS program is fragmented and lacks focus. The evidence presented in this report suggests that a more coordinated ESS program could enhance the ability of schools to foster student academic success. A more structured, data-driven program that targets academically challenged students is possible and should be pursued. To accomplish this task, the Kentucky Department of Education (KDE) needs to take a stronger administrative role that helps schools and districts link data, resources, and best practices.

A definitive need exists for extra school services. The intent of this report is to strengthen the ESS program, leading to a more efficient allocation of public funds. The report's recommendations focus on integrating existing programs and funding sources into a highly effective ESS program.

Data for this report come from a variety of quantitative and qualitative sources. The Office of Education Accountability (OES) staff conducted an Internet survey of schools and districts to gather more in-depth knowledge of ESS programs across the state. In addition, a series of site visits was conducted over the fall of 2007 to individual schools and districts. During these fact-finding trips, researchers studied school-level implementation of ESS, focusing on program strengths and barriers to success.

A review of relevant literature and presentation of best practices is found in Chapter 1. Existing KDE data on ESS program participation and funding was collected and is presented in Chapters 2 through 4. Additional data from the Student Information System (SIS) is analyzed in Chapters 3 and 4. Chapter 4 reports the result of the school site visits. In the conclusion, Chapter 5 contains eight recommendations geared toward crafting a more comprehensive ESS program rooted in proven strategies that improve student performance.

Data reliability and validity issues do not permit analysis of ESS program quality statewide. However, it was generally found that middle and high schools faced greater challenges than elementary schools providing effective ESS. These challenges include
- using data to identify students academic deficiencies,
- implementing evidence-based intervention strategies,
- ensuring student attendance in programs,
- arranging services convenient to student schedules, and
- recruiting and hiring qualified staff.

In order to strengthen ESS, OEA makes the following recommendations:

Recommendation 1

The Kentucky Department of Education should
- review the goals and expectations of the Extended School Services (ESS) program in light of current statutory requirements, Kentucky Board of Education policy initiatives requiring assistance to students not meeting educational goals, and KDE's emerging Response to Intervention Program.
- review the ESS administrative regulation to ensure that requirements tightly align with the program goals and reflect current understanding of best practices related to intervention with struggling students.
- examine and use all existing authority provided under state and federal statute to assist schools failing to meet improvement goals.
- ensure that regulation requirements do not impede the use of recommended practices. KDE should evaluate the effectiveness of the daytime programs. If KDE finds that daytime programs are effective, KDE should eliminate the need for a waiver request. In addition, KDE should consider all delivery models that promote accessibility to ESS.
- leverage existing and emerging systems and capabilities, such as the Kentucky Instructional Data System, Individual Learning Plans, the proposed Knowledge Management Portal, and Kentucky Student Information System to design better intervention programs, track and evaluate student performance, and monitor program effectiveness.

Recommendation 2

The Kentucky Department of Education should include in its review an analysis of all required data collections and the processes related to those collections. Any data required to be submitted should be aligned with recognized best practices, collected for a specific purpose, and useful for state and/or local evaluation of Extended School Services programs.

Recommendation 3

The Kentucky Department of Education should provide districts with comprehensive training and guidance related to required data and how such data can be used to evaluate the districts' Extended School Services programs. KDE should develop descriptive technical materials to support the collection of any ESS data determined to be necessary based upon the review

conducted in Recommendation 2. These materials should be made available in an easily accessible format to districts.

Recommendation 4

The Kentucky Department of Education should provide districts with guidance and training on the interpretation and use of data collected from all annual and interim assessments. Districts should be provided with information on how the results of the various assessments can be used to identify individual student needs and to place students in appropriate intervention programs, including Extended School Services. KDE and the Council on Postsecondary Education should work together to ensure that the intervention strategies used for students as a result of Educational Planning and Assessment System scores are effective at increasing student readiness for college.

Recommendation 5

The Kentucky Department of Education's educational intervention and support initiatives should be coordinated within the department so that program support is provided in a consolidated effort. Full agency collaboration is necessary so that districts receive a comprehensive range of research-based strategies and program assistance, from a single source. All documents, sources, data, and information should be provided in an easily accessible manner, especially in newly emerging systems such as the Student Information System, Knowledge Management Portal, and Kentucky Instructional Data System.

Recommendation 6

The Kentucky Department of Education should promote awareness among staff of all educational assistance programs, including Extended School Services. KDE should require training of program support teams on all available funds and educational resources. Programs such as Highly Skilled Educators, Voluntary Partnership Assistance Teams, Scholastic Audit Teams and other assistance teams should be well versed in the array of educational support programs available to districts.

Recommendation 7

The Kentucky Department of Education, Education Professional Standards Board, and Council on Postsecondary Education should collaborate in order to provide teachers, administrators, and Extended School Services instructors access to research-based strategies as they become available. These strategies can be taken from published research as well as research conducted by KDE, EPSB or CPE in Kentucky districts and schools. Research-based strategies should include additional intervention assistance to students not reaching learning goals as determined by all available data, including Commonwealth Accountability Testing System, Educational Planning Assessment System, and other forms of assessment.

Recommendation 8

The Kentucky Department of Education, Education Professional Standards Board, and Council on Postsecondary Education should collaborate to ensure that preparation and professional development programs of teachers and administrators include training on effective and sound intervention strategies. These strategies should include measures to promote increased educational attainment at the postsecondary level, as required by the Education Planning Assessment System initiative.

Chapter 1

The Extended School Services Program: Background, Context, and Relevant Research

Introduction

The Extended School Services (ESS) program was adopted as part of the Kentucky Education Reform Act. The program's goal is to provide supplemental instructional support for students not meeting Kentucky's academic goals during the regular school day.

The Extended School Services (ESS) program was adopted as part of the Kentucky Education Reform Act with the goal of providing supplemental instructional support for students not achieving Kentucky's academic goals during the regular school day. The program has been funded without interruption since financial year 1991. With $31,859,500 distributed to districts in fiscal year 2007, the program serves 24 percent of students enrolled in Kentucky public schools.[1]

State accountability policies and the federal No Child Left Behind Act of 2001 (NCLB) have called attention to the large numbers of students that need supplemental academic support.

Recent changes in federal and state policies have called attention to the large numbers of students that are in need of the kinds of services provided by the ESS program. As a result of the federal No Child Left Behind Act of 2001, policy makers and educators nationwide are contending with significant gaps between current levels of student achievement and those necessary to meet the goal of 100 percent student proficiency by 2014. Kentucky schools are required by a number of statutes, described below, to respond to the academic needs of individual students or groups of students as indicated by statewide assessments.

Kentucky faces economic and social consequences from the large numbers of high school graduates who are not prepared to succeed in college.

The higher education community and business leaders continue to stress the economic and social consequences of the large numbers of high school graduates who are not prepared to succeed in college or the work place. Approximately half of Kentucky high school graduates entering Kentucky public colleges are underprepared in at least one subject area (Commonwealth. Council 2).[2] The Kentucky Council on Postsecondary Education estimates the cost of providing remedial education to these students to be as much as $34 million per year (Applegate).

In Kentucky schools, ESS may be one of many strategies aimed at identifying and intervening with low-performing students.

In response to federal and state legislation, Kentucky schools have adopted strategies aimed at identifying and addressing the specific academic needs of students not meeting benchmarks on state

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[1] Based on FY 2006 data.

[2] As indicated by student scores of 17 or lower on ACT subject exams in math, English or reading, or equivalent levels on standardized on-campus placement exams or the SAT.

assessments. These strategies include but are not limited to ESS. The program exists in an increasingly complex web of state and federal programs targeted at students who are struggling academically. These programs provide opportunities to increase the effective implementation of the ESS program. Yet, the myriad programs present challenges to the efficient allocation of ESS funds as well as to the evaluation of ESS program effects.

Description of This Study

In 2006, the Kentucky General Assembly directed the Office of Education Accountability to study statewide implementation of the ESS program.

In December 2006, the Education Assessment and Accountability Review Subcommittee directed the Office of Education Accountability (OEA) to evaluate statewide implementation of the ESS program. This study describes statewide trends in how schools and districts are addressing the statutory and regulatory requirements of the ESS program. It looks, in particular, at how districts and schools are expending their ESS funds and what kinds of programs and strategies are in place to meet the needs of the ESS student population. The study also includes an analysis of how ESS is being coordinated with other state and federal programs targeted at similar students and an analysis of issues related to the recent growth in the number of schools opting to provide ESS during the regular school day.

Data Sources

This report synthesizes information from a variety of sources.

This report synthesizes information from a variety of sources, including the Student Information System, site visits, a survey of district offices and schools, district documents, daytime waiver applications, and scholastic audits and reviews.

Student Information System

Staff analyzed ESS data reported by schools and districts to the Kentucky Department of Education (KDE) through the Student Information System.

Staff analyzed data reported by schools and districts to the Kentucky Department of Education (KDE) through the Student Information System (SIS). Staff used data from FY 2006, the most recent year for which data were ready for analysis.

ESS data in the Student Information System include descriptions of the student's characteristics, the amounts and types of services received, and the results of the services.

For FY 2006, ESS data in SIS included
- the student's gender, ethnicity, and grade level;
- the number of hours of services received for each learning goal (such as reading or math);
- the student's level of content understanding upon entering and exiting the program;

- the types of measures used for assessing the student's level of content understanding;
- the service model (such as before school, after school, or daytime waiver);
- an indicator as to whether the student was transported;
- the types of assistance the student received (direct instructional assistance, homework assistance, study skills assistance, or counseling);
- the type of service provider (teacher, assistant, or peer tutor);
- the type of person who referred the student (teacher, parent, self, guardian, or court);
- the number of contacts made with parents or guardians;
- the number of collaborative meetings held on behalf of the student; and
- the results of ESS (improved class performance, graduated from high school, promoted to next grade, passed course/earned credit, or failed to improve).

Limitations of Student Information System data include missing records and subjective, ambiguous measures. In addition, a desire to appear compliant with KDE requirements may influence the way some districts or schools report information.

SIS Data Limitations. Thorough review of these data indicated some limitations. These are discussed briefly below.

- Electronic files are missing for some districts and schools. For example, 53 schools had no ESS student data reported for FY 2006. Staff's calls to these districts determined that these schools had a total of 4,327 students that have no ESS records in SIS. In some cases, the district or school failed to report ESS data, but most missing records seem to have resulted from system problems.

- The method of collection for some data fields require only reporting in the aggregate; this does not allow analysis at the student level.

- At the time of this study, data were available through FY 2007; however, due to a major effort by KDE to streamline data collection, few data points are comparable to past years. For example, the FY 2007 data do not indicate who referred the student, how much time was devoted to each learning goal, or pre- and post-ESS evaluations.

- KDE has no rigorous practices that ensure objective, accurate reporting and comparability across all districts and schools. Data instructions do not provide detailed criteria to help distinguish among the reporting categories. For example, much more direct instruction is reported in SIS than was actually observed by OEA staff during site visits. This difference might be explained, in part, by the fact that more than one type of assistance can be entered in SIS for each student. Those

entering student-level data may include direct instructional assistance as a component of homework assistance. Several school coordinators interviewed during site visits reported that KDE has discouraged the use of ESS for homework assistance alone. Coordinators and instructors may be liberal in their reporting of direct instructional assistance in an effort to appear compliant with KDE's recommendation.

Site Visits

Staff selected 15 districts at random. Staff interviewed superintendents and district ESS coordinators. In one randomly selected school in each of the 15 districts, staff interviewed the principal, school ESS coordinator, and one ESS instructor. Staff also observed one ESS session in each district.

OEA staff selected 15 districts at random for site visits. Appendix A contains a list of all site visit districts. Staff visited the district central office and one randomly selected school within each district. Quotas were used to ensure a representative sample of elementary, middle, and high schools. When discussed in this report, site visit schools are not identified by name; instead, they are referred to by randomly assigned letters.

At the district level, site visit data were taken primarily from structured interviews with superintendents and district ESS coordinators. District-level data also include Comprehensive District Improvement Plans (CDIPs) and other related documents provided by interviewees.

In each school, staff conducted structured interviews with the principal, school ESS coordinator, and one ESS instructor. School-level documents incorporated in the site visit analysis included Comprehensive School Improvement Plans (CSIPs), student referral forms, student referral records, student and staff attendance records, staff schedules, and individual records for randomly sampled ESS students.

In each school, staff observed one ESS program session. Site visits focused on after-school, daytime waiver, and before-school programs, as these serve the greatest numbers of students in the state. In addition, one intersession program was observed.

Site visit data limitations include a small sample size and observation of a limited number of program types and sessions.

Site Visit Data Limitations. Due to scheduling constraints, OEA staff were not able to observe ESS summer school, evening, Saturday, or academic jump start programs. Many of the concerns identified in this report may also be relevant to those programs.

OEA staff observed a small sample of districts and schools in the state. The concerns raised in this chapter may not apply to all programs and schools in the state. Whenever possible, data from the Student Information System and OEA's survey of districts and

schools were analyzed to determine the degree to which concerns identified during site visits may be relevant to schools across the state.

Observations of ESS programs were limited to what was provided during the scheduled visits. In some cases, instruction on the day of the site visit may not be representative of typical instruction. Instructors were asked, however, to compare typical ESS instruction with the instruction observed during the site visit.

Survey of District Offices and Schools

Staff invited all districts and schools to participate in a survey about ESS. All districts and 74 percent of schools participated.

Staff invited districts and A1 schools statewide to participate in a survey via the Internet.[3] Invitations were sent to all superintendents and district ESS coordinators. Superintendents were asked to forward invitations to all school principals. Access to the survey was available from September 28 to October 5, 2007. Follow-up emails and phone calls ensured response rates of 100 percent of district central offices and 74 percent of schools. During the analytical phase, staff e-mailed and called participants as needed to clarify responses. Survey questions asked about FY 2007 instead of FY 2006 because the most recent information would be less impacted by staff turnover or lost records. Appendix B contains a list of all survey questions.

District Documents

The Office of Education Accountability (OEA) asked all districts to submit copies of referral forms, parent notifications, and evaluations. From a random sample of 60 districts, staff also requested copies of policies, staff lists, and other documents.

OEA requested districts statewide to submit copies of student referral forms, notifications to parents of the availability of ESS, and district and school ESS program evaluations (excluding daytime waiver evaluations). In addition, OEA requested district and School Based Decision Making Council policies related to ESS, as well as credit recovery, ESS program staffing, and written material related to parent requests for ESS from 60 randomly selected districts.

Document Analysis Limitations. Not all districts responded to the request for documents, and those that did respond may not have sent all relevant documents.

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[3] A1 schools are those under administrative control of a principal or head teacher and eligible to establish a school-based decision making council. An A1 school is not a program operated by or as a part of another school. The Kentucky School for the Blind, Kentucky School for the Deaf, and Model Laboratory School were not included in the survey. A1 schools do not include preschools, alternative schools, vocational-technical schools, or special education schools.

Daytime Waiver Applications

Schools wishing to use ESS funds to provide services during the regular school day must submit applications to the commissioner of education identifying program design and justification of need. OEA staff analyzed daytime waiver applications submitted to KDE by schools for FY 2003 through FY 2007.

KDE Scholastic Audit and Review Data

The Commonwealth Accountability Testing System (CATS) accountability index is used to identify schools that are "in need of assistance" to meet the goal of proficiency by 2014. The group of schools identified as in need of assistance is divided into thirds based on their CATS scores. The bottom third of this group is classified as Level 3. Level 3 schools are required to undergo scholastic audits or reviews that examine quality indicators, including the quality of ESS offered. The Program Review and Investigations Committee's report on the Highly Skilled Educator Program contains a detailed description of the scholastic audit process and the methods used to categorize schools (Commonwealth. Legislative. Program*)*. OEA staff analyzed KDE scholastic audit and review data for FY 2000 through FY 2006.

Barriers to Evaluating Program Effectiveness

This report does not evaluate the overall effectiveness of the ESS program at the state level or the effectiveness of ESS strategies in individual districts and schools. Evaluation of ESS program effects is not possible at this time due to the variety of ESS models currently being implemented, the variety of programs and policies likely to influence academic outcomes of students receiving ESS, and the limitations in ESS student and program data. This report does, however, describe existing differences in program implementation across the state and identifies possible relationships with student academic outcomes in light of existing research on ESS-type programs.

Organization of the Report

The remainder of Chapter 1 provides a brief program summary, identifies trends in the current state and national policy environments, and summarizes relevant research.	The remainder of Chapter 1 provides background and contextual information, beginning with a brief description of the program as defined in statute and regulation and currently implemented. It describes large state programs, federally funded programs, and programs in surrounding states that target students who are struggling academically. National trends regarding the use of data to improve outcomes for struggling students are summarized. The chapter also provides a brief review of research on evidence of the impact of ESS-type programs on student achievement, factors believed to be associated with effective implementation, and barriers to effective implementation.
Chapter 2 describes financing of the ESS program including trends over time. It also presents data related to ESS program staffing.	Chapter 2 describes financing of the ESS program at the state and district levels including analysis of trends over time. It also presents statewide data related to staffing, compensation, barriers to staffing, and professional development.
Chapter 3 describes ESS program models and practices across the state. It also discusses challenges to evaluating the impact of the program.	Chapter 3 describes ESS programs as they are being implemented across the state, including an analysis of program models, attendance patterns, and student populations being served by ESS programs. The chapter also summarizes outcome data collected by the Kentucky Department of Education and discusses challenges to rigorous evaluation of program effects.
Chapter 4 compares program practices observed in 15 randomly selected districts and schools with practices recommended by ESS regulations and by education research.	Chapter 4 compares ESS program practices observed by OEA staff during site visits to 15 randomly selected districts and schools with practices believed to be effective at improving academic outcomes for struggling students. While data do not permit evaluation of ESS program effects, they indicate significant gaps between practices that are believed to improve student outcomes and those observed in many districts, schools, and ESS classrooms. When possible, statewide data are used to indicate whether concerns raised by site visit data may apply to large numbers of schools across the state.
Chapter 5 provides recommendations and conclusions.	Chapter 5 summarizes conclusions and presents recommendations that the General Assembly and KDE may consider to strengthen the ESS program.

ESS Program Overview

Statutes and Regulations

Kentucky Revised Statute 158.070(8) requires schools to provide continuing education through extended days, weeks, or years for students who have been determined to need additional time to achieve the goals of Kentucky's model curriculum framework. Schools may also use a portion of their ESS dollars as matching funds to support primary-grade reading intervention programs under KRS 158.792. Appendix C contains the portion of KRS 158.070(8) relevant to ESS.

> The regulation governing ESS specifies that the program should target students with the greatest needs and address students' specific learning goals.

Kentucky Administrative Regulation further specifies that ESS programs should be targeted at the highest-need students, that ESS programs should supplement regular instruction, and that ESS programs should be tailored to students' specific needs as identified and monitored through formal and informal assessments (704 KAR 3:390). Instructional strategies should be varied to meet students' needs and may include counseling when students' academic difficulties are influenced by social or behavioral problems. Schools are responsible for providing parents and guardians with a general notification of services offered, a notification of their child's eligibility for ESS, and written procedures for requesting reconsideration of their child's identification or eligibility for the ESS program. Appendix C contains this regulation in its entirety.

> ESS funds are allocated to districts according to a formula that combines measures of student attendance, student poverty, dropout rates, and CATS academic indices.

ESS funds are allocated to local districts based on a formula that includes average daily attendance, free and reduced-price lunch, dropout rates, and Commonwealth Accountability Testing System academic indices. These components are weighted, with attendance receiving half the funding emphasis, and each of the other components receiving one-third. Since FY 2003, districts have had the option of participating in the Flexible Focus Fund program that allows them to shift funds among ESS and four other state grants as long as the statutory and regulatory requirements of each grant are met. The grants included in the Flexible Focus Fund are ESS, Preschool, Professional Development, Textbooks, and Safe Schools. The Office of Education Accountability's report *A Review of the Flexible Focus Fund Program* contains a detailed analysis of how participating districts have allocated ESS funds.

ESS Service Models

ESS programs take place at a variety of times during the school year. These times include before and after school, summer school, intersession, evenings, and Saturdays. In 2002, the Kentucky Board of Education changed KRS 158.070 to allow districts and schools to request a waiver from the commissioner of education to use part of their ESS funds to support a daytime program. The request for a daytime waiver must identify students to be served and provide an explanation, data, and documentation that support the need for a daytime waiver program.

The majority of ESS students are served by after-school programs.

Figure 1.A illustrates the number of students served in particular ESS programs in FY 2006. The majority of ESS students are served by after-school programs.

Figure 1.A
Number of Students Participating in Different
ESS Service Models in FY 2006

Service Model	Number of Students
After School	91,799
Daytime Waiver	37,502
Before School	17,093
Summer	11,360
Intersession	8,472
Saturday	3,369
Academic Jump Start	1,203
Evening	669
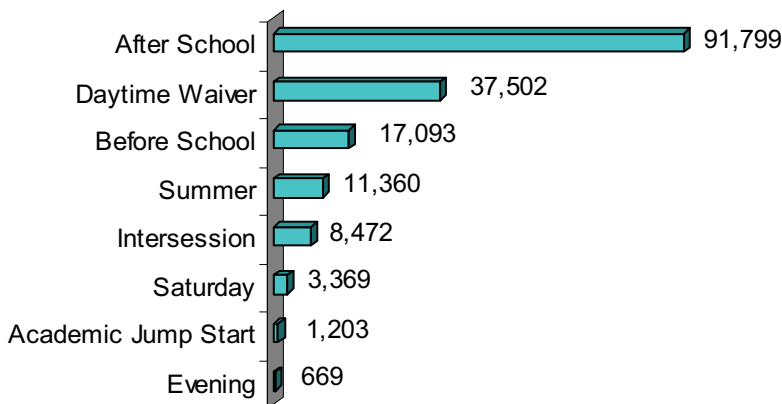
Note: Academic Jump Start provides extra support, prior to the school year, to students approaching critical transition points such as kindergarten and high school.
Source: Staff compilation of data from the Kentucky Department of Education.

Increasing numbers of students are receiving ESS in daytime waiver programs that provide supplemental instruction during the regular school day.

According to KRS 158.070(8), ESS are to be provided during the school day on a limited basis. In recent years, there has been a significant increase in the number of districts requesting waivers to implement daytime programs. Daytime waivers are popular, in part, because they allow schools to reach student populations that are difficult to reach with other ESS programs and because they do not require students to be transported.

Figure 1.B illustrates the growth in the number of students served through daytime waiver programs from FY 2004 through FY 2006.

In FY 2006, 37,534 students participated in ESS programs during the regular school day—nearly twice as many as did in FY 2004. In FY 2006, the number of students participating in ESS programs during the regular school day constituted 22 percent of the number of ESS students served by all programs.

Figure 1.B
Daytime Waiver Students by Fiscal Year
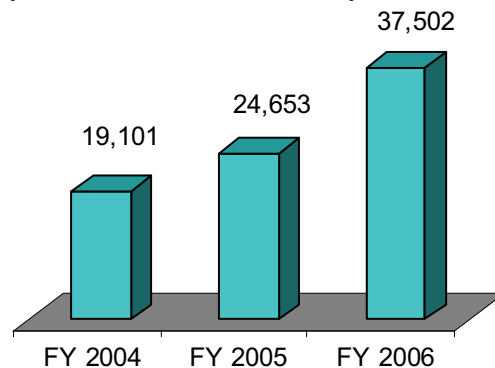
Source: Staff compilation of data from the Kentucky Department of Education.

Program Support, Oversight, and Evaluation

> Since FY 1999, there has been a significant decrease in the number of KDE staff supporting the ESS program.

The ESS program is currently supported at the state level by one full-time KDE consultant, a division director that supports ESS and six other programs, a branch manager that supports ESS and four other programs, and an administrative assistant that works part time on ESS. The number of KDE staff assigned to ESS has declined significantly since FY 1999 when the program was supported by 14 full-time staff. In FY 1999, staff included a division director and branch manger overseeing only ESS, four KDE consultants, a KDE administrative assistant, and eight consultants working out of regional service centers.

> Districts must submit ESS student data to KDE on an annual basis. The data should include pre- and post-ESS assessments.

704 KAR 3:390 requires districts to submit annual ESS student data to KDE. According to Section 6(a) of the regulation, the data should include pre- and post-ESS assessments of the student's understanding of content. In 2007, when KDE streamlined the SIS reporting requirements, the pre- and post-ESS student assessments were no longer collected, despite the current regulation.

> KDE recommends local evaluation of ESS programs but only requires evaluation of daytime waiver programs.

KDE recommends program evaluation at the local level but requires evaluation for daytime waiver programs only. Schools must submit evaluations of daytime waiver programs by June 30 of each year in order to receive permission to continue the programs in the following school year.

KDE is reevaluating the data-reporting requirements for the ESS program in light of recent state and federal legislation. The department is attempting to integrate ESS reporting requirements into a broader system of academic and nonacademic indicators, including a longitudinal student data system. The department's goal is to track students' progress toward graduation and make student data readily available through the Individual Learning Plan.

Previous OEA reports have cited teacher qualifications, transportation costs, and lower high school attendance rates as issues that require attention in ESS program design and implementation.

Prior to 2002, OEA monitored the ESS program as part of its annual review of the implementation of Kentucky Education Reform Act (KERA) programs in selected districts. OEA annual reports in 1998 and 2000 identified a number of issues needing attention to ensure the effective implementation of the ESS program. These issues include the lower overall enrollment and attendance of high school students in ESS programs; difficulties attracting the most qualified teachers to staff ESS programs; and the burden of transportation costs, especially in rural districts (Commonwealth. Legislative. Office. *Annual*).

An external evaluation identified, among other issues, the need for better professional development, program evaluation, and emphasis on serving the highest-need students.

In 2001, KDE contracted with a partnership of Edvantia, an educational consulting firm headquartered in Charleston, West Virginia, and Western Kentucky University for a comprehensive evaluation of the ESS program. The resulting report, published in 2002, reiterated concerns raised by OEA reports related to the cost of transporting ESS students and the difficulty in some districts of attracting and retaining qualified staff. Additional needs identified by this evaluation include greater involvement of parents and students in setting and supporting goals for ESS students, increased professional development for district- and school-level ESS staff, greater emphasis on serving highest-need students, and systematic evaluation of the program at all levels including efforts to identify and disseminate best practices (Cowley et al.).

ESS in Context:
State Programs and Intervention Policies Relevant to Students at Risk for Academic Failure

Multiple Funding Sources

Many state programs are relevant to the goal of improving academic outcomes for struggling students.

ESS is Kentucky's only program devoted specifically to improving academic outcomes for struggling students. The state funds multiple programs, however, that may also be relevant to the goal of improving outcomes for this group of students.

Family Resource and Youth Services Centers and dropout prevention program funds can be used to address noncognitive barriers to students' academic success.

Students' academic difficulties can be influenced by a variety of social and economic factors. Kentucky's Family Resource and Youth Services Centers program, authorized in KRS 156.4977, provides school-based family support intended to address some of students' noncognitive barriers to academic success. Kentucky's Dropout Prevention Grant program, authorized in KRS 158.146, funds the development of a statewide dropout prevention strategy and provides funds to local schools for the implementation of dropout prevention programs.

The Early Reading Incentive Grant and Mathematics Achievement Fund provide resources to support diagnostic assessment and instructional intervention in mathematics and early reading.

There are also state programs aimed at early identification and remediation of academic difficulty. Kentucky's Early Reading Incentive Grant, authorized in KRS 158.792, funds comprehensive primary reading programs that emphasize research-based instructional programs and early, ongoing student diagnostic assessment. Kentucky's Mathematics Achievement Fund, authorized in KRS 158.844, provides resources to help schools implement diagnostic assessments and intervention strategies that assist students to reach proficiency.

Table 1.1 describes the most highly funded state programs likely to be targeted at students experiencing academic difficulty.

Table 1.1
Kentucky Programs Targeted at Students
at Risk for Academic Failure

Program	Description	FY 2007 Funding
Extended School Services	Extended learning time for students failing or in danger of failing to meet expectations of Kentucky's model curriculum	$ 31,859,500*
Family Resource and Youth Services Centers	School-based family support aimed at removing noncognitive barriers to academic success	$ 51,850,700
Highly Skilled Educators	Assistance to teachers and instructional leaders in low-performing schools from highly skilled educators	$ 5,624,900
Dropout Prevention	Statewide dropout prevention strategy including technical assistance and school grants	$ 720,900
Early Reading Incentive Grant	Comprehensive programs aimed at early identification and remediation of reading difficulties in the primary grades	$ 20,558,100
Mathematics Achievement Fund/Center for Mathematics	Diagnostic and intervention services for students K-12	$ 3,000,000
Support Education Excellence in Kentucky (SEEK) "add-ons"	Increase base cost of SEEK for providing services to students who participate in the free lunch program (at risk) and who are identified as Limited English Proficiency (LEP)	$152,703,821 (at risk) $ 2,740,190 (LEP)

Note: *This is the amount available to districts after KDE retained 1.1 percent for administrative purposes.
Source: Kentucky Department of Education.

Statutes Requiring Intervention

The Kentucky General assembly requires schools to respond to statewide assessment data that identify students or groups of students scoring below desired levels.

The Kentucky General Assembly requires schools to respond to the academic needs of individual students and groups of students as indicated by statewide assessments. KRS 158.6459 requires that intervention strategies for accelerated learning be incorporated into the learning plan of high school students whose scores on high school and readiness examinations administered in grades 8 and 10, respectively, indicate that they need additional assistance in English, reading, or mathematics. The statute also requires that high schools provide accelerated learning opportunities for students scoring below benchmarks on the ACT examination.

KRS 158.649 requires that local school councils for schools not meeting biennial targets for reducing the identified achievement

gap for a group of students submit revisions to Consolidated School Improvement Plans (CSIPs). Revisions must describe the schools' intended uses of professional development and ESS funds to meet the academic needs of identified groups.

KRS 158.6453 requires that schools' 5th-grade staff develop a plan for accelerated learning for all students with academic deficiencies in reading and mathematics as identified by 4th-grade state assessments.

ESS in Context:
Federal Programs Targeted at
Students at Risk for Academic Failure

> NCLB has increased school-level accountability for student achievement on standardized assessments.

Following is an overview of federal program requirements and their influence on local school policies relevant to the ESS population. Although not all Kentucky schools are implementing the programs described below, all schools are subject to testing requirements under the federal No Child Left Behind (NCLB) Act of 2001. In schools across Kentucky and the nation, these requirements have influenced the way schools identify and address students' academic difficulties.

Title I and NCLB

> Title I is a large federal program aimed at improving academic outcomes for economically disadvantaged students.

Title I of the Elementary and Secondary Education Act of 1965 is the federal government's largest program aimed at improving academic outcomes for economically disadvantaged students. The federal government encourages schools that have a child poverty rate of 40 percent or more to develop schoolwide strategies for improvement rather than focusing Title I services exclusively on Title I-eligible students. Schools are advised to combine all available federal, state, local, and private funding to improve the quality of educational services offered at the school level. Unlike schools operating the traditional targeted assistance programs, schools that adopt schoolwide programs are not required to link Title I funding with services provided to specific students. The evolution of Title I toward schoolwide assistance programs was shaped by research suggesting that effective schools are characterized by comprehensive, coherent reform strategies and by a series of evaluations questioning the efficacy of the traditional Title I pull-out programs (as described in McDonnell). In FY 2007, 71 percent of Kentucky schools operated Title I programs. Of these, 91 percent were schoolwide programs.[4]

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[4] Source: Kentucky Department of Education.

NCLB requires that schools make adequate yearly progress (AYP) on annual assessments in grades 3-8 and on assessments in one high school grade. Schools that fail to make AYP face corrective action by the state and sanctions that increase over time.

Title I is currently tied to states' implementation of challenging content standards, assessments, and accountability systems under NCLB. The law requires yearly assessment in reading and mathematics of students in grades 3-8 and yearly assessment in reading and mathematics of students in one high school grade. NCLB focuses accountability at the school level by requiring schools to make adequate yearly progress (AYP) toward the goal of students' academic proficiency by 2014. This progress is calculated using schools' average student achievement levels as well as the average achievement levels of major student subgroups within schools. Subgroups include low-income students, minority students, students with limited English proficiency, and students with disabilities. Schools that do not make AYP for two consecutive years are subject to corrective action and sanctions that increase over time.

Schools that do not make AYP for three consecutive years must use Title I funds to provide Supplemental Educational Services such as tutoring.

Schools that do not make AYP for three consecutive years in the same subject must use a portion of their Title I funds to pay for Supplemental Educational Services (SES) such as tutoring for Title I students. Kentucky schools facing corrective action under NCLB may thus have students that are eligible for both ESS and Supplemental Educational Services.

SES providers must be approved and evaluated by State Education Agencies (SEAs). To date, most SEAs have not evaluated student learning outcomes associated with approved SES providers. SEA officials cite lack of resources and technical assistance from the federal government as barriers to evaluation. Further, SES providers are difficult to evaluate given significant differences among models in student-teacher ratios, duration of services, and types of programs (Viadero).

Multiple Funding Sources

Title I schools may be implementing the ESS program in conjunction with other federal programs such as Reading First.

Kentucky schools serving large numbers of economically disadvantaged students may be implementing the ESS program in conjunction with Title I and other federal programs targeted at many of the same students. Reading First provides funds to help states and districts implement comprehensive research-based reading programs in grades K-3. Reading First requires the use of screening, diagnostic, and classroom-based assessments aimed at early identification and remediation of reading difficulties. There are currently 72 Kentucky schools implementing Reading First programs.

The 21st Century Community Learning Centers (CCLC) program funds before-, after- and summer school programs that provide educational enrichment activities. Unlike ESS, 21st CCLC programs are not designed specifically for remediation of academic difficulty.

The 21st Century Community Learning Centers (CCLC) program funds before-, after-, and summer school programs designed to improve students' mastery of state and local content standards and to provide students with additional educational enrichment opportunities. Improved student academic achievement is an important goal of the 21st CCLC program. Unlike ESS programs, however, 21st CCLC programs are not designed specifically for remediation of academic difficulty. The program currently funds extended learning programs in 169 Kentucky schools.

GEAR UP prepares low-income students in grades 7-9 to take advantage of higher education opportunities.

GEAR UP is a federal program funded outside NCLB that also targets low-income students. The program is designed to help make these students aware of higher education opportunities and to prepare them to succeed at the postsecondary level. GEAR UP programs can include tutoring and mentoring. GEAR UP Kentucky is administered by the Kentucky Council on Postsecondary Education together with cooperating partners that include postsecondary institutions and school districts. The program serves more than 15,000 students in grades 7-9.

Table 1.2 describes some of the most highly funded federal programs likely to be targeted at the ESS student population.

Table 1.2
Largest Federal Programs Relevant to ESS Programs

Program	Description	FY 2006 KY Funding
21st Century Community Learning Centers	Competitive grants for extended day programs that include academic and enrichment activities	$ 13,656,071
Reading First	Competitive grants for comprehensive, research-based primary reading programs	$ 15,450,709
Title I (includes Supplemental Educational Services)	Funds for a variety of activities designed to improve academic outcomes for economically disadvantaged students	$184,218,606
Improving Teacher Quality	Funds for a variety of activities aimed at promoting a teaching staff that is highly qualified and able to help all students achieve at high levels; allowable expenditures include class size reduction and professional development for teachers	$ 43,078,509
GEAR UP	Funds for activities intended to educate low-income children about higher education opportunities and to support academic preparation for higher education	$ 9,737,930*

*Local partners provide $9.8 million in nonfederal match.
Sources: Kentucky Department of Education and Kentucky Council for Postsecondary Education.

**State and National Trends in School Improvement:
Data-driven Decision Making and Consolidated Planning**

Schools are implementing the ESS program in an environment in which there has been a proliferation of data about student performance. These data provide schools with a clear indication of which students and groups of students require supplemental support to achieve the goals of Kentucky's model curriculum framework. In most Kentucky schools, ESS is the only source of funds devoted specifically to the goal of improving academic outcomes for struggling students. In many schools, however, ESS may be one of several funding sources that can be used to support school programs designed to improve outcomes for these students.

The proliferation of data and programs in the current policy environment presents schools with opportunities as well as challenges. In order to be successful at increasing the academic performance of all students, schools must use all available resources strategically to address the academic needs of students as indicated by data.

Data-driven Decision Making

Districts and schools nationwide are using annual and interim assessment data to design, monitor, and evaluate strategies aimed at improving outcomes for low-performing students. Continuous use of data is considered to be an essential characteristic of high-performing, high-poverty schools.

The influence of NCLB has extended far beyond Title I schools. As a result of state accountability policies and NCLB, district and school leaders nationwide have become increasingly focused on the use of student performance data to shape school improvement efforts. In addition to yearly assessments administered in compliance with state accountability policies and NCLB, districts and schools are implementing interim assessments of student progress. In contrast to annual state assessments, interim assessments are able to provide student-level data at the beginning of the school year and at intervals during the school year. Data from interim assessments allow districts to monitor schools' progress toward achieving yearly assessment goals and allow teachers and school leaders to identify students' specific instructional needs as they change throughout the year. Use of student assessment data to design, monitor, and evaluate instruction throughout the school year is widely acknowledged to be an essential characteristic of high-performing, high-poverty schools (Kannapel; Council; Symonds).

The Kentucky General Assembly requires the Kentucky Board of Education to assist schools and districts in the development and use of assessments that are able to identify students' individual learning needs.

KRS 158.6453 requires the Kentucky Board of Education to assist local school districts and schools to develop and use "continuous assessment strategies" that "provide diagnostic information to improve instruction to meet the needs of individual students." OEA

data collected from ESS program site visits and from analysis of schools' daytime waiver applications indicate that the use of interim assessments and early reading diagnostic classroom assessments is widespread in the state, but the data do not permit exact quantification of their use. Chapters 2 and 3 provide examples of schools' use of interim assessments and other forms of continuous assessment to identify students and skills to be targeted by ESS programs.

Research suggests that formative assessments used to adjust classroom instruction in response to students' needs are especially effective at improving academic outcomes for low-performing students.

The growth in the use of interim assessments has been fueled in part by an influential synthesis of research on the effects of formative assessments—those used to make ongoing adjustments to instruction—on student achievement (Black and William). The review suggests that formative assessments used by teachers and students in classroom settings have the potential to improve student achievement, especially for low-performing students, more than any other single intervention.

Teachers and school leaders in many schools require support in the use of data to improve instruction.

Formative assessments can only improve student performance, however, if they are used to make adjustments to school and classroom practices. Research has shown that teachers and school leaders in many schools lack the knowledge necessary to connect data with effective instructional interventions. School staff require support in the analysis of assessment data and the identification, implementation, and evaluation of interventions based on data (O'Day; Sharkey and Murnane).

Consolidated School Improvement Planning

Consolidated School Improvement Plans are intended to assist schools in making strategic use of available resources to address priority needs.

In Kentucky, the school improvement planning process required for the development of CSIPs is intended to assist schools in making use of available resources to address schools' priority needs as indicated by data on the Kentucky Performance Report, the ACT, and classroom assessments. It is considered the central process that enables schools to meet the goal of 100 percent student proficiency by 2014. According to KDE, the following steps are critical to effective school planning: assessment of needs based on assessment data and indicators of school practice such as Standards and Indicators for School Improvement; identification of two or three priority needs; analysis of factors associated with priority needs; setting of specific, realistic, and measurable goals; specification of activities related to those goals; identification of resources that can support improvement activities; monitoring of improvement activities; and evaluation of actions taken based on student performance (Commonwealth. Dept. of Ed. "The School").

District Support for ESS

According to KDE, districts can play an important roles in making resources available to schools for use in ESS and in monitoring ESS program quality.

KDE suggests that districts identified for Tier III assistance under NCLB use a "pyramid of interventions" model when designing CDIPs. Tier III districts are those that have not made adequate yearly progress for 4 years under NCLB. The pyramids of intervention model encourages districts to identify strategies such as ESS, and resources relevant to addressing the academic needs indicated by student assessment data. Figure 1.C provides a visual representation of this model.

Figure 1.C
KDE Pyramid of Intervention Model
Recommended for District Planning

Level 4
Highly Specialized Interventions

Level 3
In-Depth Formal Intervention

Level 2
Team Interventions

KDE recommends ESS at this level.

Level 1
Classroom Interventions
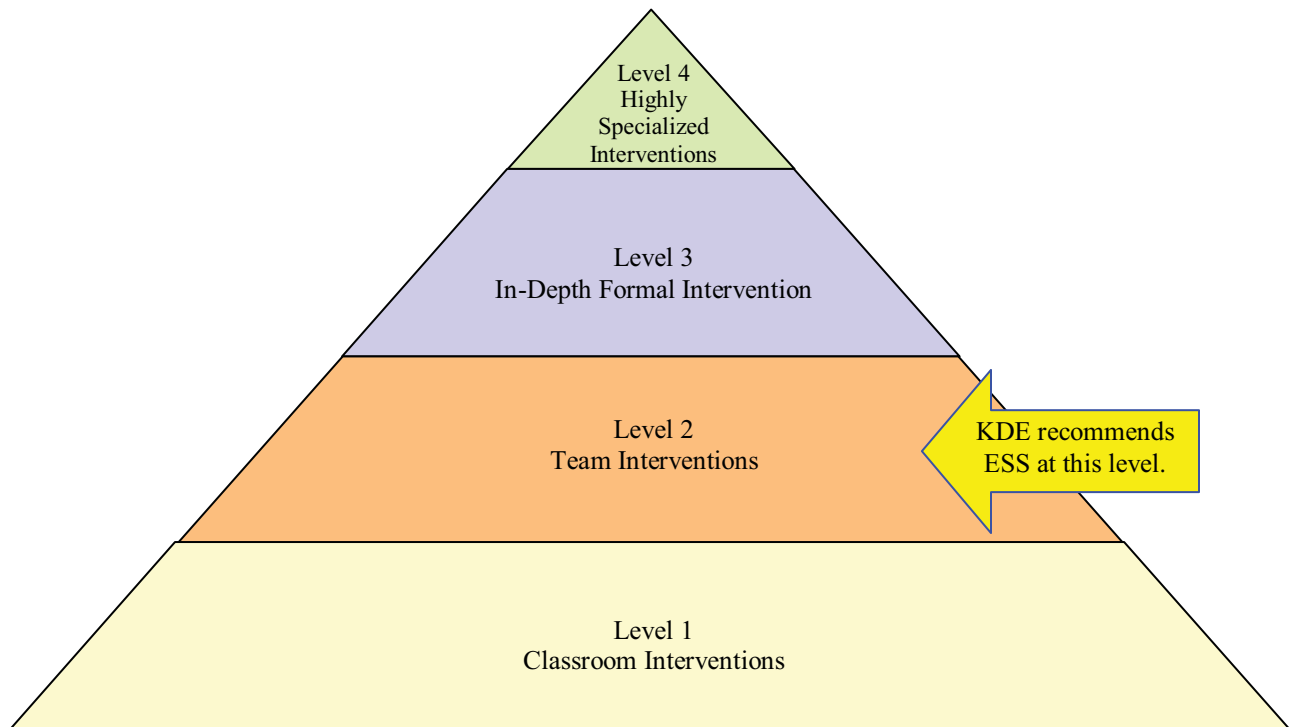
Source: Kentucky Department of Education.

In this model, Level 1 suggests that districts promote instructional practices that help teachers to identify and address students' individual learning needs in regular classroom settings. These practices include flexible grouping, differentiation of instruction, and frequent monitoring of student progress.

ESS services are recommended at Level 2—team interventions. The model suggests that districts ask themselves "guiding questions" relevant to the implementation of Level 2 interventions. These questions address the following issues: reliable

identification of struggling students; availability to and use by teachers of rigorous, formal interventions; existence of clearly defined ESS entry and exit criteria; and evaluation and modification of programs (Commonwealth. Dept. of Ed. "Pyramids" 1).

Out-of-School Time Programs: National and Local Trends

Schools nationwide are adopting multiple strategies aimed at improving academic outcomes for struggling students. Out-of-school time (OST) programs such as those funded through ESS are an increasingly popular though not the only means of addressing the academic needs of these students.

Out-of-school time (OST) programs are a popular means of addressing the needs of students who are struggling academically. There has been unprecedented growth in the public funding of these programs in the past 20 years.

The past 20 years have seen unprecedented growth in public funding of programs that provide services to students outside school hours (Bodilly and Beckett). In the 2002-2003 school year, an estimated 11 percent of school-age youth regularly attended after-school programs (Zief, Lauve, and Maynard 1). Emphasis on the academic component of after-school programs has increased since funding for 21st CCLCs was incorporated into NCLB. There has also been a sharp increase in the implementation of tutoring programs as a result of NCLB (Viadero).

In 2000, more than 25 percent of school districts required summer school for failing students. Currently, close to 10 percent of public school children are estimated to attend summer school (Sundius 121). In 2006, 35 states and the District of Columbia had summer remediation policies, many of which were focused on specific subject areas. Ten states targeted summer remediation policies at specific low-performing districts or schools (Zinth 1).

A number of states have considered legislation that funds extended school days for low-performing schools. The Massachusetts legislature funds such a program.

Governors and state legislatures in a number of states are currently implementing or considering legislation aimed at providing additional instructional time by extending the regular school day. Massachusetts' FY 2008 state budget includes a $13 million appropriation for the Extended Learning Time Initiative that provides funds to extend the school day in a select number of low-performing schools (Commonwealth of Massachusetts).

Nationwide, a number of districts have adopted policies that extend the regular school day from as little as 15 minutes to as much as 2 hours. Some have added days to the school year. Most of these policies are targeted at low-performing districts or schools (Afterschool).

Advocates for expanded learning time programs argue that these programs offer opportunities for rigorous, in-depth instruction in core subjects without sacrificing students' opportunities to participate in athletic programs and the arts. To be successful, however, extended learning programs must increase the effectiveness of instructional practices rather than providing "more of the same" (Rocha).

OST and Remediation Programs in Surrounding States

All but one of Kentucky's surrounding states fund OST programs or other types of remedial education.

Most of Kentucky's neighboring states direct state dollars at OST programs or other programs that provide supplemental instruction for academically struggling students. Like Kentucky, many surrounding states fund additional kinds of programs aimed at improving outcomes for low-performing students. These can include funds for class-size reduction, early reading intervention, and dropout prevention.

Table 1.3 describes the programs that most closely match Kentucky's ESS program. It does not provide a comparison among surrounding states of total amounts of state dollars allocated to improving academic outcomes for low-performing students.

Table 1.3 describes the programs that most closely match Kentucky's ESS program in specific intent and program type. State education officials contacted for this report were not aware of any evaluations of the effects of the statewide programs described in Table 1.3.

Table 1.3
Surrounding States' Support for ESS-type Programs*

State	Program	Description	Funding FY 2007	Funding Relative to State K-12 Enrollment
Illinois	Summer Bridges	Pre-K through 6th grade, 90-hour summer reading, writing and mathematics program; requires 30 hours of professional development for participating teachers; teachers are required to continue instructional approaches during the regular school year; students identified based on state assessments, retention, excessive absences, or teacher recommendation; state mandates specific instructional framework for literacy	$12,453,000 Grants based on number of eligible pupils attending; 20 percent local match required	$5.90
Indiana	Summer School	Reimbursement for summer schools; course offerings and attendance determined locally	$19,600,000 Reimbursement to local corporations for instructional costs of approved programs	$18.94
	Remediation Grant	Remediation for students failing or barely passing state exams; programs determined locally	$6,924,392 Per eligible students as determined by ISTEP scores; 50 percent local match required	$ 6.69
		Indiana Total Funding	$26,524,394	$25.63**
Kentucky	Extended School Services	Extended learning opportunities, outside the regular school program, for students failing or at risk of failing; programs determined locally	$31,859,500 Per average daily attendance (ADA), student poverty, dropout, CATS scores	$46.86
Missouri	No specific program			
Ohio	Intervention Services	Required spending category as part of poverty-based assistance and basic aid supplements; targeted at students failing state assessments, 3rd grade "reading guarantee," or students meeting benchmarks but capable of higher performance; intervention strategies determined locally	$65,828,404 Per student poverty	$35.78

Continued on next page.

Table 1.3 continued

State	Program	Description	Funding FY 2007	Funding Relative to State K-12 Enrollment
Tennessee	Extended Contract Program	Remedial instruction outside the school day based on student need as identified by local education agencies through student data; programs determined locally	$24,206,000 Per average daily membership, ADA, and number of career ladder II and III teachers***	$25.38
	Lottery for Education After school Program	Funding for public or nonprofit groups providing educational after-school programs; 50 percent of students served must be educationally or economically at risk per variety of criteria	$12,300,000 Competitive grants	$12.89
		Tennessee Total Funding	$36,506,000	$38.27
Virginia	Prevention, Intervention, and Remediation	Remedial services to students needing additional instruction to meet state standards as assessed by Standards of Learning assessment or to earn a diploma and stay in school; specific programs not mandated; pupil-teacher ratio specified	$61,500,000 Per state assessment failure rate for students in poverty; local match required	$50.64
	Remedial Summer School	Students identified based on state assessment and academic performance; 30-day program; determined locally	$24,000,000 Per ADA of eligible students; local match required	$19.76
		Virginia Total Funding	$85,500,000	$70.40
West Virginia	No specific program			
Average for all states			$36,953,044	$31.83

*This table does not represent a comparison among surrounding states of total state appropriations targeted at students at risk of academic failure. The programs described above are those that most closely match the ESS program in specific intent and program type.

**State totals for funding relative to K-12 enrollment may not be the exact sum of individual program funding relative to K-12 enrollment due to rounding.

***Tennessee's program was developed as an incentive for teachers to attain career level II and III status under a previous career ladder system. This system is no longer in place, but the funding formula has not changed.

Note: The actual funding adjustments relative to K-12 enrollment for FY 2007 may be slightly different from those reported in the table because state K-12 enrollment data is from FY 2006.

Sources: Staff compilation of state program data from state education officials and Web sites; student enrollment data for FY 2006 from the National Center for Education Statistics.

State funding amounts reported in Table 1.3 are based on state appropriations for specific programs and do not include any additional state funds that may have been used to support these programs at the district or school level. The table also does not include local funds that may have been used to support ESS-type programs. These data are beyond the scope of this study. The comparison of funding provided below must be interpreted in light of the limitations in the data.

Table 1.3 provides an adjusted measure of state appropriations for supplemental academic programs based on the total K-12 enrollment of each state. By this measure, Kentucky ranks second to Virginia in state appropriations targeted specifically at ESS-type programs. Kentucky's spending of $46.86 is $21.01 above the average of $27.85 for surrounding states.

State funding formulas for ESS-type programs in surrounding states vary. In Ohio, there is no state categorical funding for remediation; instead, the state requires local education agencies to provide intervention and remediation services in their use of state funds for the poverty-based assistance program. The Illinois Summer Bridges program provides grants to districts based on the number of students failing the state assessment or considered otherwise to be in academic need. Virginia targets funding at low-performing students in poverty through its Prevention, Intervention, and Remediation program. The Tennessee Extended Contract Program allocates funds based on average daily membership, ADA, and the number of teachers on advanced levels of a career ladder system formerly in place in the state. Kentucky's funding formula for the ESS program represents a combination of these approaches because it includes measures of ADA, student poverty, dropout rates, and CATS scores.

Like Kentucky, most states funding ESS-type programs specify criteria for student eligibility or types of programs to be offered, such as summer school, but do not mandate particular program designs or attendance policies. In contrast to Kentucky's ESS program, the majority of surrounding states' intervention and remediation programs are linked explicitly to student achievement as demonstrated by state assessments. The academic goal of Kentucky's ESS program is defined in reference to the model curriculum framework. Regulations further specify that students should be assigned to the ESS program when they are having academic difficulty in one or more content areas. It is likely, therefore, that teachers' judgments of students' school performance play a greater role in identification of students for the ESS program

in Kentucky than their peers' judgments for similar programs in surrounding states.

The Illinois Summer Bridges program is the most highly specified of the ESS-type programs in surrounding states. The program is designed specifically for students in grades K-6 needing remediation in reading, writing, and mathematics. It is also used as a lever to promote a specific framework for literacy instruction; teachers and other instructional staff participating in the Summer Bridges program are required to attend 30 hours of professional development training and must agree to implement specific strategies during the regular school year.

Lessons From Research:
Effects, Recommended Practices, and Implementation Issues Associated With ESS-type Programs

ESS encompasses a wide variety of program designs. Research relevant to different kinds of programs is summarized below.

ESS programs in Kentucky vary widely in the ways they are designed and implemented at the local level. Some ESS programs provide sustained, systematic remedial instruction to a small group of students over time. Some provide homework assistance to a larger group of students in a variety of subjects. Some focus on collaborative models of teaching designed to target students' specific needs on a daily basis and prevent students from falling behind. Given the wide variety of ESS service models and associated student learning goals, there is no single body of research relevant to all ESS programs. In the section below, research relevant to different kinds of ESS programs is summarized.

Tutoring

The term "tutoring" is generally used to describe intensive one-on-one or small-group instruction provided to students struggling in a particular content area. It is a method of instruction that can be used in all ESS service models. While the term is sometimes loosely used to describe different types of instruction, research suggests that successful tutoring programs provide the types of instruction described below.

Research supports the use of trained volunteers or paraprofessionals to implement highly structured, intensive tutoring programs aimed at improving reading achievement in the early grades.

There is extensive research documenting the positive effects of tutoring programs aimed at improving reading achievement in the early grades. A review of research on tutoring programs published by the U.S. Department of Education concluded that these programs are effective at improving students' reading

achievement, self-confidence, and motivation to read. Programs reviewed used volunteers, peer tutors, or other paraprofessionals to provide instruction. The following program characteristics were believed to be associated with improved student outcomes:

1. Close coordination with the classroom or reading teacher;
2. Intensive and ongoing training for tutors;
3. Well-structured tutoring sessions in which the content and delivery of instruction is carefully scripted;
4. Careful monitoring and reinforcement of progress;
5. Frequent and regular tutoring sessions, with each session between 10 and 60 minutes daily; and
6. Specially designed interventions for the 17 to 20 percent of children with severe reading difficulties (*Evidence* 1)

Research also supports the use of one-on-one or small-group tutoring within regular classrooms. Instruction for struggling early readers should be explicit, intensive and supportive.

The practices considered to be effective in the review cited above can be incorporated into regular classroom instruction. Torgeson summarizes research demonstrating that classroom interventions targeted at children in the early grades who are at risk of reading failure can significantly reduce the number of children who fail to achieve in reading as assessed by word-level reading skills in the 3rd grade. Interventions should be targeted at students identified through diagnostic assessments to be at risk for reading failure. Interventions can take place in core classroom instruction through one-on-one tutoring or small groups. Instruction must be explicit, intensive and structured to support step-by-step learning. Instruction can be provided by classroom teachers, resource teachers, or well-trained and supervised paraprofessionals.

There are fewer evidence-based tutoring practices associated with students in higher grades and with subjects other than reading.

There are fewer evidence-based tutoring or other intervention strategies available in connection with reading difficulties experienced by students after the primary grades and in connection with subjects other than reading. For example, researchers have yet to develop interventions proven to address the "4th grade slump" in reading achievement that occurs when students are required to move from simple decoding to the more complex skills required for reading comprehension (Samuels). States attempting to provide remediation for students who fail exit exams can look to only a small number of studies for guidance. There is as yet no consensus about forms of tutoring or other types of intervention that are effective with this group of students (Gewertz).

Out-of-School Time Programs

The majority of research relevant to the possible academic effects of out-of-school time ESS programs comes from studies on the effects of after-school and summer school programs. There is less research on the effects of other OST programs such as before-school, Saturday, and intersession programs. Many of the findings from research on after school and summer school programs are most likely relevant to other OST programs as well.

Research on the effects of OST programs must be interpreted with caution given important differences between ESS and many of the programs studied.

The findings discussed below offer lessons relevant to the ESS program but must be interpreted with caution given differences between ESS programs and many OST programs. Unlike ESS, many OST programs have goals that include but are not solely focused on academic support for struggling students. In contrast, ESS programs may include nonacademic goals, such as mentoring or behavior modification, but are focused primarily on academic support.

Expected Benefits

Advocates believe that OST programs improve a student's academic performance and reduce negative effects associated with unsupervised, unstructured time.

Advocates of OST programs cite a number of benefits associated with student learning. These programs are able to provide supportive and enriching environments that complement students' experiences during the regular school day and year. Summer school can help prevent summer learning loss, which is especially pronounced for disabled or economically disadvantaged students (Alexander, Entwistle, and Olson; Cooper et al. "The Effects"). Advocates believe that after-school programs can help reduce the negative effects associated with youth who experience unstructured, unsupervised after-school time. These effects include academic difficulties, victimization, and increased risk-taking behaviors (Zief, Lauve, and Maynard 1).

Effects on Student Achievement of OST Programs

Individual studies document the ability of summer school to improve a student's academic outcomes. Improvements are not necessarily sustained in a student's future school performance, however.

A number of studies have demonstrated the positive effects of summer school on student achievement. Summer school programs, even when successful, however, may not be sufficient to ensure students' long-term academic success. Studies indicate that academic gains made during summer school are not sustained in students' future school performance (Cooper et al. "Making"; Roderick, Engel and Nagaoka). This suggests that summer school is not enough to set students on an improved learning trajectory without improved learning opportunities during the regular school year.

Individual studies have also demonstrated the potential of after-school programs to improve students' academic outcomes.

Individual studies have demonstrated the potential of OST programs to improve student achievement (Scott-Little, Hamann, and Jurs; Kane). Contradictory findings and different standards of evidence, however, make it difficult to draw generalized conclusions about the effects of large-scale implementation of OST programs on student learning. As noted earlier, these types of programs generally operate in conjunction with a number of other programs and school strategies designed to assist students at risk of failing. In these types of environments, it is difficult to single out the impact of any one program. Education researchers and the federal government have only recently begun to conduct the kinds of large-scale experimental studies that can isolate program effects.

Several studies raise questions about whether after-school programs improve students' mastery of academic content as assessed by standardized tests. The studies cited report effects of programs that may differ significantly from ESS OST programs.

While after-school programs are widely believed to have positive effects on student behavior and other well-being indicators, evidence to date from the most rigorous evaluations of after-school programs suggests that these programs may not improve students' mastery of academic content. Zief, Lauve, and Maynard's review of experimental studies of after-school programs found that although these programs may help to improve students' grades, they cannot be linked to improvements in student achievement on standardized tests. Similarly, a large-scale study of the 21st CCLC program found little or no academic benefits for students as measured by standardized tests (Dynarski).

The federal government has commissioned a follow-up study of the 21st CCLC program from MDRC, a nonprofit, nonpartisan social policy research organization. This study is looking at the effects on student achievement of student participation in 21st CCLC programs that provide supplemental, systematic instruction that is highly aligned with school curricula.

Studies of tutoring provided through NCLB suggest some positive effects. Results are mixed.

Early evaluation of the tutoring provided through Supplemental Educational Services under NCLB also present mixed effects. A federally commissioned study of program effects found significant student achievement gains in five out of seven districts studied, especially for students participating in the program for multiple years, students with disabilities, and African American and Hispanic students (Zimmer et al.). Evaluations of SES program effects conducted by three states and four cities, however, provide little evidence of student achievement gains.

The disappointing results reported above do not indicate that ESS OST programs cannot have positive effects on student learning. As stated above, numerous studies report positive impacts of individual programs. There may be significant differences between the type of academic assistance provided in 21st CCLC programs and the tutoring programs evaluated in the research cited above and the type of academic assistance provided in many ESS OST programs. Also, there are likely significant differences in staffing, program design, and oversight between many of the programs included in these evaluations and ESS OST programs. ESS programs, for example, are directed by certified teachers and, in theory, have close links with the school curriculum. Existing research does suggest, however, the difficulty of ensuring program quality when implementing these kinds of programs across a large number of sites as is the case with the ESS program in Kentucky. This research also suggests that ESS OST programs focused primarily on homework help are more likely to improve students' grades than they are to improve students' learning as measured by standardized assessments.

> Research cited may not apply to many ESS programs. Research does suggest, however, the difficulty of ensuring the quality of OST programs when they are implemented across many sites as they are in Kentucky. Research also suggests that OST programs focused primarily on homework help may be more likely to improve students' grades than students' mastery of academic content as assessed by standardized tests.

Factors Influencing Effective Implementation of OST Programs

Existing research identifies a number of factors related to effective implementation of OST programs. Instruction should be regular, sustained, and provided in "doses" sufficient to address students' academic needs (Zief, Lauve, and Maynard; Kane). The learning environment should provide a positive contrast with students' regular school experience through, for example, increased flexibility, individualized instruction, and a supportive culture (Roderick, Engel, and Nagaoka; Cooper et al. "Making"). Programs must ensure regular communication among teachers, students, and parents (Cooper et al. "Making"; Northwest).

> Factors believed to be related to effective implementation of OST programs include: regular and sustained instruction; positive learning environments; and regular communication among all stakeholders.

When the goal of an OST program is remediation, the curriculum should be systematic and highly aligned with the regular school curriculum (Northwest; Roderick, Engel and Nagaoka). Northwest Regional Educational Laboratory's analysis of summer school programs suggests that these programs can be especially effective when they are intended to prevent academic failure rather than to provide remedial education. In these cases, summer school opportunities should be provided beginning in the early grades and sustained over a number of years.

> Curricula in remedial OST programs should be highly aligned with regular school curricula.

Low student-attendance rates can prevent OST programs from influencing student outcomes. Attendance in OST programs is often lower in the upper grades.

Researchers cite low student-attendance rates as a significant barrier to the effective implementation of OST programs. Studies have documented difficulties in enrolling and ensuring attendance of middle and high school students and economically disadvantaged students in OST programs (Bodilly and Beckett; Public). An evaluation of the NCLB Supplemental Educational Services program found that as many as 28 percent of eligible students in grades 2 through 5 took advantage of available services, whereas the participation rate for eligible high school students was less than 5 percent (Zimmer et al. xi).

Research suggests insufficient attention to planning and evaluation in many OST programs.

OST programs also suffer from insufficient attention to planning and evaluation (Viadero; Bodilly and Beckett). When there is limited time devoted to planning and program design, OST programs may be loosely organized and have poorly defined goals (Northwest).

Collaboration Models

Most ESS daytime waiver programs follow a collaboration model in which an ESS instructor provides supplemental instruction to ESS students in a regular classroom.

The majority of ESS programs offered during the school day follow a "collaboration" model. In this model, an ESS instructor works with a classroom teacher to assist ESS students in a regular classroom setting. Collaboration models in ESS daytime waiver programs are contrasted with "pull-out" models in which ESS instructors work with students outside the regular classroom. Out of 841 schools implementing daytime waiver programs in FY 2008, 340 are using collaboration models, 201 are using pull-out models, and 153 do a combination of both (Simpson. "Re: Collaborative").These and other daytime waiver models are discussed in greater detail in Chapter 2.

Research on the effects of and implementation issues associated with collaborative teaching models to date has been based on classrooms that combine regular and special education students. This research offers insights that may be relevant to the implementation of collaborative teaching models in ESS daytime waiver programs.

Collaborative teaching, which is also called co- or team-teaching, is most often associated with the collaboration of regular and special education teachers in regular education classrooms that include students with disabilities. Collaborative teaching requires teachers to work together to plan and provide instruction and to assess student progress. Regular education teachers typically are more knowledgeable about school curricula, whereas special education teachers are better able to adapt teaching to meet the

learning styles of special needs students (Ripley). Collaborative teaching models can include one teach, one assist; parallel teaching in which teachers teach the same or similar content in different groupings; alternative teaching in which one teacher takes a small group of students for specialized instruction; and team-teaching in which both teachers share responsibility during whole-group instruction (Scruggs, Mastropieri, and McDuffie).

Effects associated with collaborative teaching include improved self-image of students with disabilities and increased attention to students' individual needs.

Walther-Thomas, Bryant, and Land cite advantages of collaborative versus pull-out models as improved self-image and social skills for students with disabilities and greater understanding and acceptance of difference by all students. They also cite increased teacher time and attention to the needs of individual students as benefits of this model.

Studies of collaborative teaching report generally positive academic effects but are not of sufficient number or quality to support generalized conclusions.

Reviews of research on collaborative teaching have concluded that, while studies report some positive effects, these studies are insufficient in quantity and quality to support generalized conclusions about the impact of collaborative teaching on student outcomes (as summarized by Scruggs, Mastropieri, and McDuffie).

Factors associated with effective collaboration include joint planning time and professional development.

Effective implementation of collaborative teaching requires resources and supports. The most critical resource is time for joint planning, which must be regular and ongoing. Teachers may also need professional development that provides effective models of collaborative teaching and helps teachers adjust their roles and expectations relative to their previous teaching experience (Ripley).

Pull-out Programs

A significant number of daytime waiver programs use a pull-out model in which ESS students receive instruction outside the regular classroom. Though these models vary in design, they may be subject to some of the disadvantages associated with Title I pull-out programs.

Title I pull-out programs have been criticized for time wasted during student transitions, diffusion of responsibility for individual students, and poor coordination with regular classroom instruction.

A summary of research related to Title I pull-out programs cited several disadvantages of these programs: lack of coordination between instruction provided in regular and pull-out classrooms; disruption and wasted time associated with students' transitioning between classes; and diffusion of teachers' responsibility for individual students (Rossi and Montgomery).

| KDE requires that ESS daytime waiver pull-out programs be structured to ensure that ESS instruction does not supplant regular instruction. | Title I pull-out programs have also been criticized for reducing the amount of instructional time that Title I students receive in their regular classrooms. In their applications for daytime waivers for the ESS program, Kentucky schools must specify how pull-out programs will ensure that ESS instruction does not supplant regular instruction. |

Summary

| Nationwide, OST programs are a popular means of providing supplemental support for struggling students. Most of Kentucky's neighboring states provide support for OST or other remedial programs. | The ESS program was implemented as part of KERA with the goal of providing struggling students with supplementary instruction outside the regular school day. Nationwide, OST programs are a popular means of addressing the instructional needs of students who are not meeting academic goals in the regular school day. Most of Kentucky's neighboring states provide funding for one or more of the programs implemented through ESS. Since the ESS daytime waiver option was made available in 2002, a growing number of schools have opted to provide ESS during the regular school day. |

| Nationwide, there is a trend toward improving outcomes for low-performing students through comprehensive school improvement strategies that use available resources to address students' academic needs as indicated by data. | In the past decade, schools in Kentucky and across the nation have increased their focus on identifying and intervening with low-performing students. There is a national trend toward improving outcomes for low-performing students through comprehensive school improvement strategies. These strategies use all available resources to address the academic needs of students as indicated by annual, interim, and classroom assessment data. Multiple funding sources target many students eligible for ESS; these sources reflect the many social, economic, and cognitive factors associated with academic risk. |

| Research has demonstrated the potential of ESS-type programs to improve student achievement. Table 1.4 summarizes characteristics believed to be related to effective implementation of different programs. | Numerous studies demonstrate the potential of different ESS program models to improve student achievement. Table 1.4 summarizes research cited in this chapter that describes characteristics believed to be associated with effective programs and challenges that may be associated with implementation of these programs. |

Table 1.4
Summary of Research Relevant to ESS Programs

Program Type	Characteristics Of Effective Programs	Potential Challenges to Effective Implementation
Tutoring	One-on-one or small group Systematic, sustained, explicit instruction Tutoring coordinated with classroom instruction	Availability of evidence-based programs beyond primary grade reading
Daytime Waiver	Shared teaching and decision making Range of instructional methods Attention to individual learners	Collaboration Models: Sufficient planning time Support for teachers assuming unfamiliar roles in classrooms Pull-Out models: Time wasted during student transitions Diffused responsibility for individual students Poor coordination of instruction with regular classroom
Out-of-School Time Programs	Sustained and regular instruction Aligned curricula Communication among stakeholders	Enrolling and ensuring attendance of highest need students Program oversight and evaluation
ALL*	Focus on specific needs of individual students or groups of students Continuous assessment and adjustment of instruction	Capacity of teachers and school leaders to connect student data with school and classroom interventions

Note: Many of the characteristics and implementation issues identified in research related to specific models may also apply to other models.
*Research cited in the text suggests that these practices are especially effective with low-performing students. These practices can, in theory, be applied in all types of ESS programs but have not been studied directly as implemented in all programs.
Source: Staff compilation from sources cited in text.

Chapter 2

ESS Program Finances and Staffing

Introduction

This chapter discusses finances,
staffing, and other resources using
information from state budgets,
district annual financial reports,
and the OEA survey of district
offices and schools.

This chapter discusses finances and staffing. Sources include state
budgets, districts' annual financial reports, the Student Information
System, and the survey of district offices and schools that OEA
staff conducted in the fall of 2007. At the time of this study,
financial and SIS data were available through fiscal year 2006.
State appropriations for ESS are discussed in Chapter 1 of this
report and in the OEA Flexible Focus Fund research report
(Commonwealth. Legislative. Office. *A Review*).

Allocations

ESS State Budget Appropriations

Annual ESS funding has been
approximately $33 million since
1993. During this time, average
daily attendance remained
constant but inflation eroded the
value of funds.

Figure 2.A shows ESS allocations in the annual enacted budgets, in
nominal dollars and in constant 1990 dollars. With the exception of
FY 2005, annual funding has been approximately $33 million from
1993 through 2008. During this same time period, statewide
average daily attendance remained relatively constant (U.S. Dept.
of Ed. Natl. Ctr. *Common Core*). However, inflation has eroded the
value of funds over time (U.S. Dept. of Labor).

Figure 2.A
State-enacted Budgets for ESS, Nominal and 1990 Constant (Inflation-adjusted) Dollars:
FY 1990-2008

	'90	'91	'92	'93	'94	'95	'96	'97	'98	'99	'00	'01	'02	'03	'04	'05	'06	'07	'08
Enacted ($ mill.)	0.0	21.4	28.7	32.7	33.8	33.9	34.0	34.0	34.0	33.9	36.9	36.4	36.5	33.4	32.3	18.7	32.3	32.2	32.2
'90 Constant ($ mill.)	0.0	20.5	26.7	29.4	29.7	29.2	28.2	27.5	27.2	26.5	28.0	26.9	26.6	23.7	23.0	12.6	21.0	20.0	
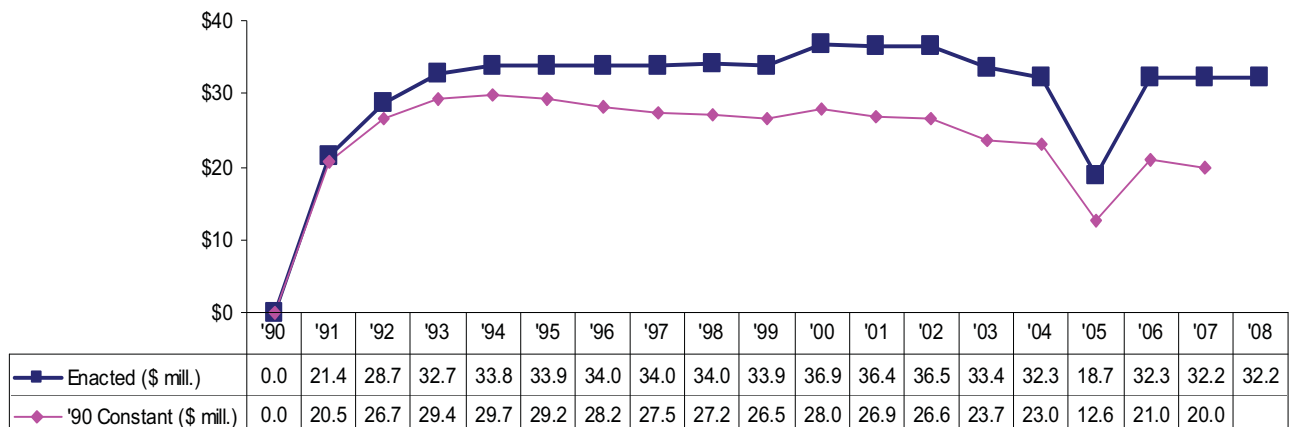
Notes: The FY 1992 and 2004 amounts are from the revised budgets. Staff computed 1990 constant dollars using
consumer price index data from the U.S. Bureau of Labor Statistics.
Sources: Staff compilation of data from Commonwealth. Office of the State Budget Director; Day; U.S. Dept. of
Labor. Bureau of Labor Statistics.

KDE Allocations to Districts

Pursuant to 704 KAR 3:390, KDE is permitted to retain 2 percent of the state allocation for administrative purposes. The majority of the retained funds are spent on personnel and grants to universities for education-based studies, while the remainder goes to program operating costs (Day).

The remaining ESS funds are allocated to each district according to a formula, which is described in Table 2.1. One-half of the allocation is based on the district's most recent average daily attendance. The other half is based on the percentage of students eligible for free- or reduced-price lunch, the CATS Academic Index, and the dropout rate. KDE then adjusts the allocations to ensure that each school district receives no less than $15,000, deemed the minimum for an effective program.[1]

Table 2.1
Allocation Formula for Extended School Services

Factor	Percent of Total State Allocation	Factor Measurement	Allocation Formula
Students Served	One-half	Average Daily Attendance (ADA)	District ADA as a percent of state ADA
Other District Characteristics	One-half	One-third of funding for percent of district membership eligible for free and reduced-price lunch (F/R)	District F/R percent (multiplied by district ADA) as a percent of all districts' weighted F/R
		One-third of funding for CATS Academic Index (AI)	100 minus district AI (multiplied by district ADA) as a percent of all districts' weighted AI
		One-third of funding for dropout rate (DR)	District DR (multiplied by district ADA) as a percent of all districts' weighted DR

Source: 704 KAR 3:390.

In the survey of districts, OEA staff asked superintendents and district ESS coordinators whether they agreed with KDE's ESS allocation formula. Most (84 percent) agreed. Of the 26 percent of districts that did not agree, the most frequent comment was that allocations should give more weight to, or be entirely based on, free and reduced-price lunch eligibility. The next most frequent comment was that funds should be based entirely on ADA, membership, or enrollment numbers. Some commented that CATS should have less or no weight because, in effect, districts are financially penalized as their CATS scores improve. Some

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[1]The Kentucky School for the Blind, the Kentucky School for the Deaf, and the Model Laboratory School receive $15,000 each.

suggested that allocations should take into account No Child Left Behind status, norm-referenced test scores, and transportation needs. Some pointed to a need for additional funding overall or at least for small districts.

Districts' Allocations to Schools

Districts have the option to reallocate funds among ESS and four other Flex Focus Fund grants—preschool, professional development, safe schools, and textbooks. In FY 2006, 52 districts moved funds out of ESS while only 7 moved funds into ESS. The net impact of these transfers was a $1,976,434 reduction in funds available for ESS.

After receiving their allocations from KDE, districts have the option to participate in the Flexible Focus Fund program to reallocate funds among five grant areas to better meet district needs. These grant areas are ESS, preschool, professional development, safe schools, and textbook. The authorization of the fund was established within the General Assembly's FY 2003 budget. This language has been repeated in subsequent budgets, allowing continuation of the program. Since the inception of the program, 106 districts have taken advantage of shifting money among the five grants. As discussed in the OEA report on the Flexible Focus Fund, participating districts have tended to move money out of ESS each year, except in FY 2005 when the General Assembly appropriated less money to ESS.

In FY 2006, 52 districts moved funds out of ESS while only 7 moved funds into the ESS program. The amounts transferred varied widely by district. The net effect of all Flexible Focus Fund transfers resulted in a reduction of $1,976,434 for ESS, which was approximately 3 percent of the ESS funds allocated to districts (Commonwealth. Legislative. Office. *A Review* 19-20).

Districts have considerable discretion as to how they allocate ESS funds to individual schools.

In providing ESS services, districts have the option of either allocating money to schools for individual ESS programs or operating a districtwide ESS program. While KDE is obligated by regulation to disburse money to districts according to the formula mentioned above, districts have more discretion as to how they allocate funds to individual schools. KDE provides examples of alternative formulas that districts could use to allocate funds to schools.

- The first option presented by KDE is for districts to allocate funds to schools in the same way that KDE allocates to districts.
- A second alternative omits the weight for dropouts, thus increasing the weight on test scores and indigent students. Half of the funds are based on ADA, one-fourth are based on the CATS Academic Index, and the remaining one-fourth are based on the number of students eligible for free or reduced-price lunches.

- KDE's final example of allocation options eliminates the one-half weight for ADA. Instead, allocations are weighted one-third each for the dropout weight, free and reduced-price lunch eligibility, and the CATS Academic Index. In effect, this approach allocates more funding to high schools due to the increased weight on dropouts.

KDE guidelines specify that ESS allocations to schools should be based on need, yet 28 percent of districts base allocations solely on ADA, 16 percent base allocations on membership or enrollment, and 4 percent divide funds equally, without regard for differences in school size or need.

According to the ESS Program Guidelines posted on KDE's Web site, allocations should be based on need, not solely on ADA. Yet survey responses reveal that 28 percent of districts base allocations on ADA alone, and an additional 16 percent base allocations on membership or enrollment alone. About 4 percent divide ESS funds equally among schools, without regard for differences in the number or characteristics of students in each school. Only 6 percent of districts use exactly the same formula as KDE. Ten percent use KDE's second suggested alternative, which omits dropout rates. The remaining districts use a variety of other approaches.

Expenditures

Sources of Funds Spent for ESS

Districts supplement ESS with some funds from other grants and general funds.

Districts sometimes use money from other grants and the general fund to support ESS initiatives. Figure 2.B shows trends in expenditures based on district annual financial reports (AFRs).

Figure 2.B
Districts' Total ESS Expenditures ($ Millions)
by Source of Funds: FY 2001 to FY 2007
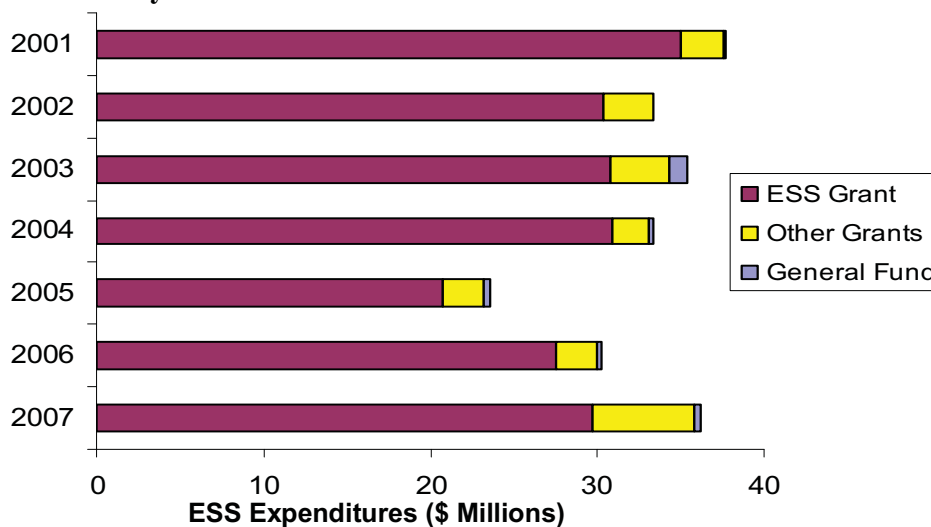
Note: Districts' reported expenditures can differ from state budget appropriations due to such factors as carry-over of unspent ESS funds (up to 10 percent); transfers between ESS and other Flex Focus Funds; and KDE's retention of 2 percent of appropriations.
Source: Staff compilation of data from Kentucky Department of Education.

The above analysis of AFRs underestimates ESS expenses because some districts use other grant money but do not code expenditures to ESS program codes in the MUNIS financial accounting system. The survey requested districts to provide an estimate of the additional funds expended on ESS. These estimates are summarized in Table 2.2. In FY 2007, in addition to the $36 million of ESS expenses reported in AFRs, districts reported a total of $2,682,068 spent on ESS but coded to other grants. Title I, Family Resource and Youth Services Centers (FRYSCs), and 21st CCLC are the grants used most often to supplement ESS.

Table 2.2
Districts' Estimates of ESS Expenditures Coded to Other Grants in MUNIS:
FY 2007

Grant/Program	# of Districts	Average $	Total $ All Districts
Title I	46	16,189	744,698
FRYSC	42	3,356	93,957
21st CCLC	39	20,809	811,567
Read to Achieve	13	9,820	127,664
Reading First	11	4,736	52,100
Title II (Teacher Quality)	6	13,033	78,200
Math Initiative	5	6,368	31,840
Safe Schools	5	1,520	2,600
Other (General Fund, GEAR UP, etc.)	38	19,459	739,442
Totals	**--**	**95,290**	**2,682,068**

Source: Staff survey of districts, Fall 2007.

Blending of ESS With Other Programs

Most districts say they encourage schools to blend and share resources among ESS and other programs. Just under half of schools report doing so.

The multitude of state and federal programs with similar goals can have more impact if districts and schools blend and share resources among programs. Most districts (84 percent) said they encourage schools to blend programs in the way defined in the survey, which was "the sharing of resources or staff to further the academic mission of ESS." Approximately half of schools (45 percent) said they blend programs in this way. Schools blend ESS with such programs as Title I, 21st CCLC, and FRYSCs.

Types of Expenditures

Salaries and benefits made up 84 percent of ESS expenditures; 13 percent for supplies; the rest for purchased services, computers, and other expenses.

Staff analysis of FY 2006 AFRs found that salaries and benefits made up 84 percent of ESS expenditures. Another 13 percent was spent on supplies, which includes software, food, and books. The

remainder was spent on purchased services, computers, and other expenses.

Regulation Spending Caps

ESS funds are to be expended for instructional and support services to provide an effective program, according to 703 KAR 3:390. The regulation imposes some spending restrictions. For example, while schools are allowed to use ESS funds to attend field trips, districts cannot use more than 2 percent of the district's total allocation for this expense. Administrative costs cannot exceed 5 percent of a district's allocation, and districts can use up to 3 percent of their allocation for summer school operational expenses.

KDE currently does not monitor districts' compliance with regulatory spending caps for field trips, administrative costs, and summer school operational expenses.	OEA interviewed KDE staff and reviewed districts' AFRs to determine adherence to these guidelines. KDE staff indicated that they do not currently monitor districts' compliance with the spending caps. Currently, field trip expenses cannot be identified in AFRs. According to KDE's chart of accounts, districts are to code ESS bus transportation to the 1100 instructional function code. Function codes in the 2700 range should include only expenditures for transportation to and from school. This accounting practice, which does not follow National Center for Education Statistics guidelines, currently overstates Kentucky's reporting of instruction expenditures, while understating transportation costs.[2]
Although accounting practices do not permit OEA staff to determine compliance with spending caps on field trips, staff did determine that districts exceeded spending caps on administrative costs by a total of $43,160 and operational costs by a total $2,397.	Table 2.3 summarizes the analysis of FY 2006 operational and administrative expenses. Only 10 districts offering summer school charged operational expenses to the ESS grant. Three of those districts exceeded the allowed 3 percent by a total of $2,397. Forty-two districts charged administrative expenses to the ESS grant for FY 2006. Nine districts exceeded the regulatory limit of 5 percent by a total of $43,160.

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[2] These guidelines require all transportation costs be coded to function 2700.

Table 2.3
Operational and Administrative Spending in Excess of Regulatory Limits: FY 2006

	Type of Expense	
	Summer School Operational	Administrative
Number of Districts With Any Expenses	10	42
Number of Districts Exceeding Limit	3	9
Regulatory Limit as a Percentage of ESS Grant	3%	5%
Average Percentage of ESS Grant Among All Districts With Expenses	2%	4%
Average Percentage of ESS Grant Among Districts Exceeding Limit	4%	11%
Total Expenditures in Excess of Regulatory Limit	$2,397	$43,160

Source: Staff analysis of data from the Kentucky Department of Education.

Transportation

Transportation is essential to ensure attendance, but its cost can consume a large portion of the ESS budget, especially in rural communities.

Transportation is a key consideration when designing ESS programs. Transporting students is essential for reaching students who have the greatest need, and would be required if districts mandated attendance. However, providing transportation can consume a large portion of the ESS budget, especially in rural communities.

Due to data limitations, transportation costs cannot be precisely measured, but they are estimated to average approximately $60 per ESS student transported in FY 2006. According to KDE, the average cost to operate a bus is $2.16 per mile, not including salaries and benefits for drivers and monitors.

In SIS, schools indicate whether each individual student participating in ESS received transportation from the district. Due to the incorrect financial data on transportation costs and the inability to know how often students were transported, an accurate transportation cost cannot be reported. However, when each district's transportation expenditures for ESS were divided by the number of students transported in order to roughly estimate the transportation costs per student, the medians were $57 in FY 2004, $52 in FY 2005, and $60 in FY 2006. Calculations provided by KDE report the state average transportation cost was $2.16 per mile using financial data for FY 2006. This amount does not include the cost of salaries and benefits for bus drivers and monitors.

Over the past 5 years, the number of ESS students transported has declined significantly.

Analysis of AFRs and SIS data indicates that at least some transportation of ESS students was provided in more than two-thirds of districts in 2006-07. However, detailed analysis found that the number of students transported is only a fraction of the total participating in ESS. As Figure 2.C shows, the number of students transported has declined from more than 86,000 in FY 2002 to about 32,000 by FY 2006.

Figure 2.C
Numbers of ESS Students Transported: FY 2002-FY 2006
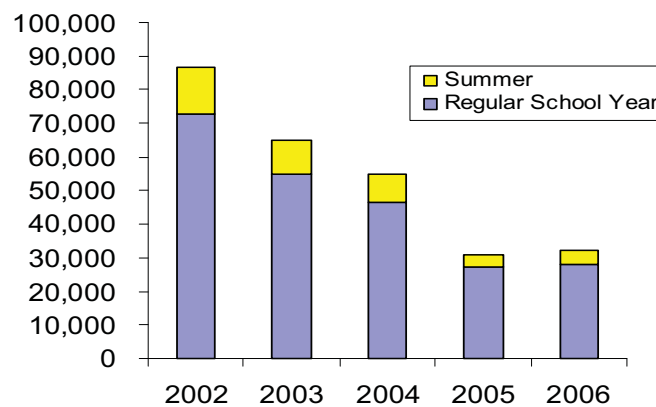
Source: Staff compilation of data from the Kentucky Department of Education.

Spending Attributable to Each Content Area

The bulk of ESS funds are spent on assistance with reading and math, the two most critical areas of academic need.

Schools report the number of hours of ESS for each content area in SIS. Since the majority of ESS expenses are attributable to staff time, the distribution of hours by content area indicates the approximate distribution of funds. Figure 2.D shows the distribution during the past 3 years for which data are available. Almost half of ESS service hours, and therefore expenses, are dedicated to reading assistance. About one-third of expenses can be attributed to math. Writing has averaged about 10 percent, social studies 6 percent, and science 5 percent. Less than 5 percent of expenses targeted arts and humanities, practical living, and vocational studies.

Figure 2.D
Districts' ESS Expenditures by Content Area: FY 2004-FY 2006

Percent of Expenditures Attributable to Specified Content Area

Reading | Math | Writing | Soc. Studies | Science | Arts & Hum. | Prac. Living | Voc. Studies
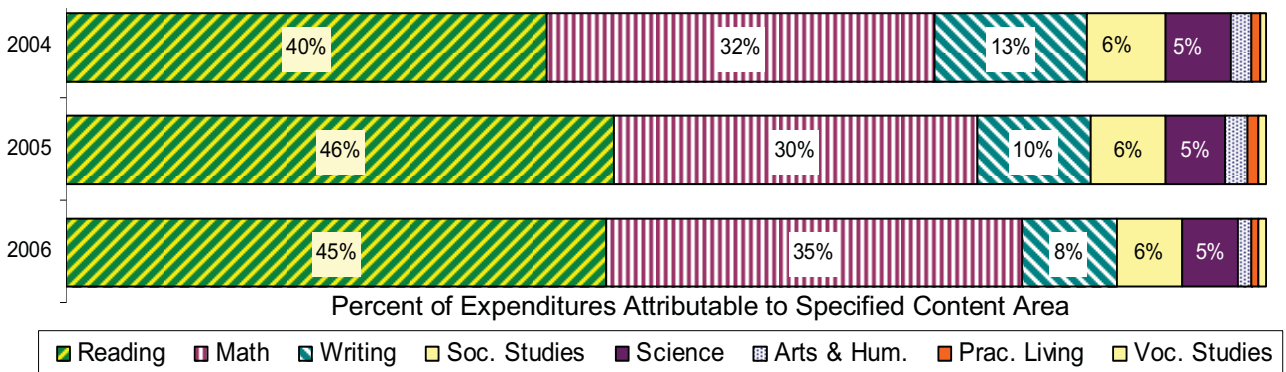
Source: Staff analysis of data from the Kentucky Department of Education.

Variations in Expenditures by Service Model

By examining program codes on each district's AFR, staff attempted to analyze the amount that districts expend for each type of program (such as after school or daytime waiver). A program code captures instructional expenditures related to specific programs like ESS. KDE has established specific codes, listed in Table 2.4, to distinguish expenditures by program types. However, districts are not mandated to use these lower-level codes. Most districts are coding all ESS expenditures to the regular ESS program code 110 regardless of the type of service provided. KDE's instructions distributed to districts have mentioned three ways to identify daytime waiver expenditures: using the 116 program code, attaching a letter D to the object code for ESS expenses, or attaching the letter D to the ESS project number in the financial accounting system. Most districts are using one of these three methods. Since not all districts are coding ESS daytime expenditures in the same way, KDE program staff are having difficulties tracking daytime waiver expenses.

Table 2.4
Accounting Program Codes for ESS Program Types: FY 2006

110	Regular ESS
111	Summer School
112	After School
113	Saturday School
114	Night School
115	ESS Special Programs
116	ESS Daytime

Source: Commonwealth. Dept. of Ed. *Chart*.

Staffing

Existing data sources provide little information about the number and characteristics of ESS staff. OEA conducted a survey to supplement existing data.

Existing data sources provide little information about the number and characteristics of ESS staff, in part because staffing practices are flexible and varied across the state. The survey attempted to supplement the existing data by asking questions about compensation, professional development, access to informational resources, and potential barriers to finding qualified staff.

Every district has a district ESS coordinator, although this person may serve many other roles. The school ESS coordinator is typically held by a teacher, principal, or guidance counselor. Some schools forgo a paid coordinator position.

Every district has a district ESS coordinator; however, as staff learned in site visits, that person may serve many other roles, such as director of federal programs or instructional coordinator. The position of school ESS coordinator may be held by a teacher, a principal, assistant principal, or guidance counselor. Some schools

elect not to pay for a coordinator position so that they will be able to use all allocated funds for instruction.

According to SIS, most students are instructed by certified teachers, as shown in Figure 2.E. Classified instructional assistants teach about 6 percent of the time, and peer tutors about 1 percent of the time. Information from site visits and document analysis indicates that some schools have small numbers of teachers each providing many hours of service, while other schools have large numbers of teachers each providing small amounts of services only as needed.

Figure 2.E
Types of Instructors: FY 2006

Certified Teacher, 93%

Classified Assistant, 6%

Peer Tutor, 1%
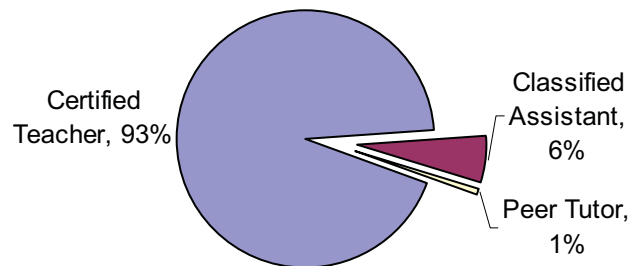
Source: Staff compilation of data from Kentucky Department of Education.

Staff Compensation

In most districts, certified instructors are paid one hourly rate, which is typically $23 per hour.

Certified Instructors. As indicated in Figure 2.F, most districts pay certified instructors a flat hourly rate. Figure 2.G provides a breakdown of districts by ranges of hourly rates, with a median of $23 per hour. Some districts use a scale based on such factors as the type of program or the teacher's experience. Two districts pay a daily rate ($60 in one district and $100 in the other district). One district pays an hourly rate based on the teacher's contracted salary.

Figure 2.F
Compensation of Certified Instructors: FY 2007

87%

11%
1% 1%

- One hourly rate
- Hourly rate varies
- Hourly rate based on regular contract
- Per diem
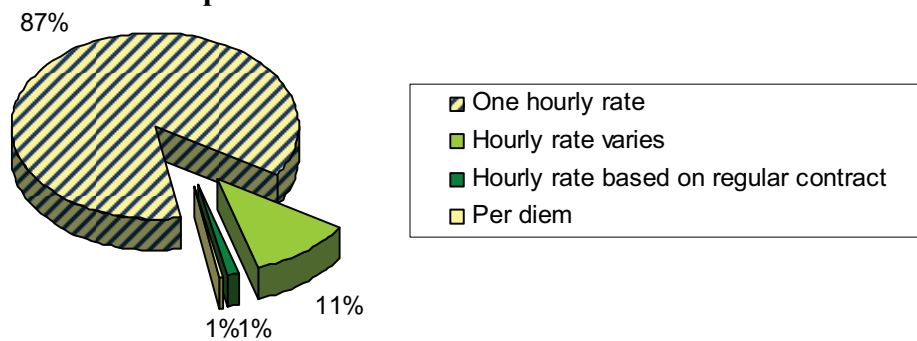
Note: Fifteen districts did not answer this question.
Source: Staff survey of districts, Fall 2007.

Figure 2.G
Hourly Rate That 138 Districts Pay to Certified ESS Instructors: FY 2007

Median: $23

< $20	$20	$21–$24	$25	> $25
16%	23%	26%	13%	15%
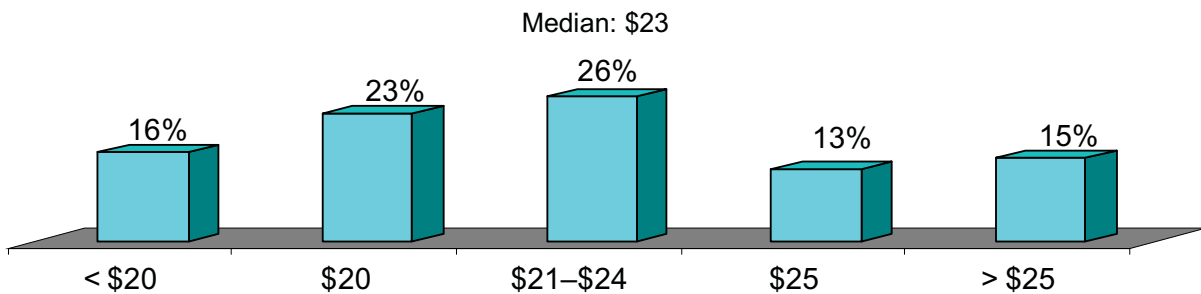
Note: Percentages reflect responses of the 138 districts that pay the same hourly rate to all certified instructors.
Source: Staff survey of districts, Fall 2007.

Classified Instructors. As shown in Figure 2.H, many districts (47 percent) pay classified instructors their regular hourly contract rate, which depends on such factors as the instructor's level of education and years of experience. However, 38 percent of districts pay all classified instructors one hourly rate. The median for that rate is $10 per hour; Figure 2.I presents a breakdown of those rates. Twelve percent of districts reported they do not use classified staff as instructors.

Figure 2.H
Compensation of Classified ESS Instructors: FY 2007

Source: Staff survey of districts, Fall 2007.
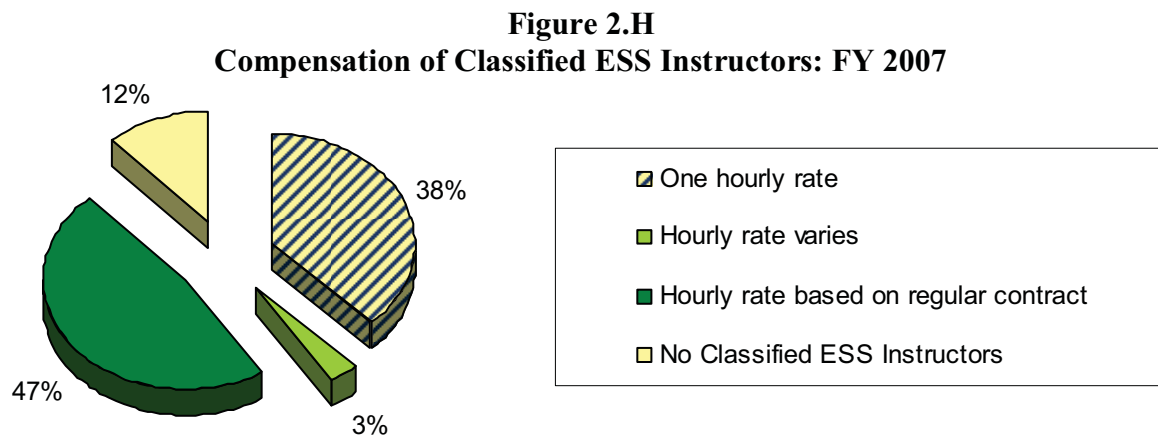
Figure 2.I
Hourly Rate That 61 Districts Pay to Classified ESS Instructors: FY 2007
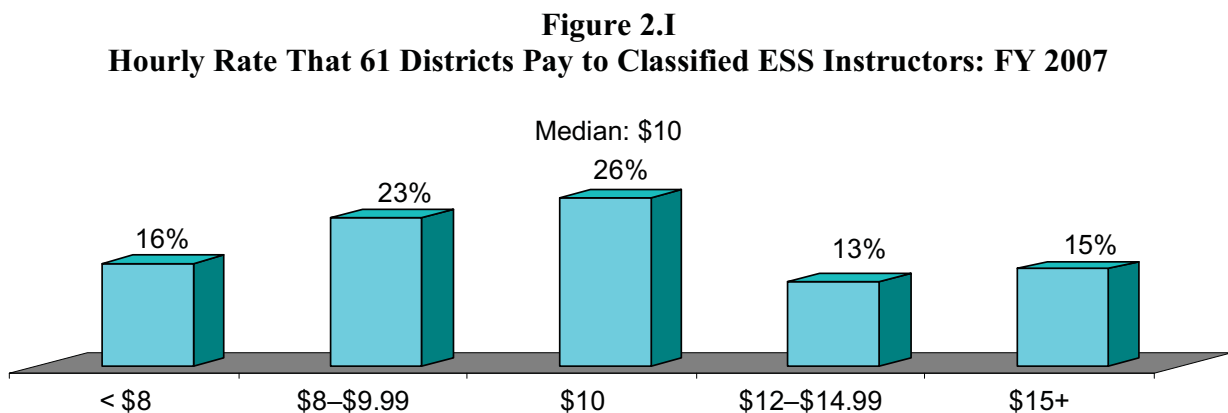
Note: Percentages reflect responses of the 61 districts that pay the same hourly rate to all classified instructors.
Source: Staff survey of districts, Fall 2007.

School ESS Coordinators. As Figure 2.J shows, the most common way to pay school ESS coordinators is by the hour. The hourly rate is often the same as the instructor rate, since coordinators are often instructors. About one-third of districts offer annual extra-duty pay. The median is $1,500 for the regular school year, as shown in Figure 2.K; coordinators may receive slightly more if they also coordinate a summer program. In a few districts, the extra-duty pay varies by the size of the school. In about 1 in 5

districts, the coordinator is the principal or assistant principal, who is not paid extra. Very small districts often do not have school coordinators, and the duties are assumed by the district coordinator

Figure 2.J
Compensation of School ESS Coordinators: FY 2007
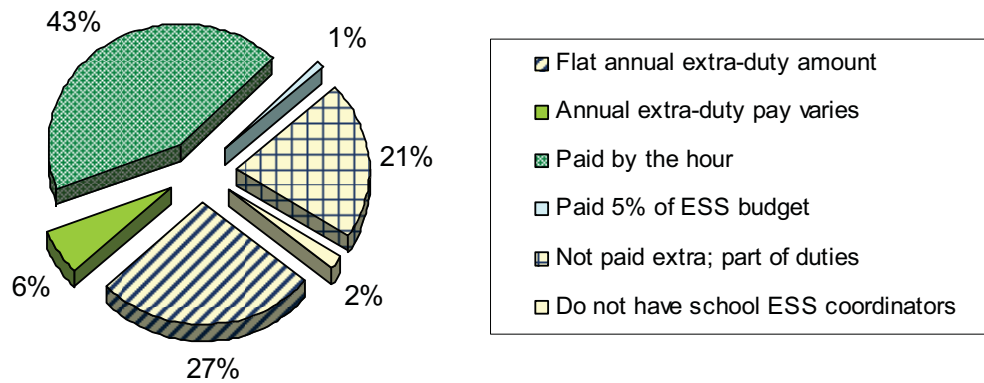
Legend:
- Flat annual extra-duty amount
- Annual extra-duty pay varies
- Paid by the hour
- Paid 5% of ESS budget
- Not paid extra; part of duties
- Do not have school ESS coordinators

Note: Eight districts did not answer this question.
Source: Staff survey of districts, Fall 2007.

Figure 2.K
Annual Extra-duty Pay that 45 Districts Pay to School ESS Coordinators: FY 2007

Median: $1,500

< $500	$500–$999	$1,000–$1,499	$1,500–$1,999	$2,000–$2,499	$2,500+
9%	24%	16%	13%	22%	16%
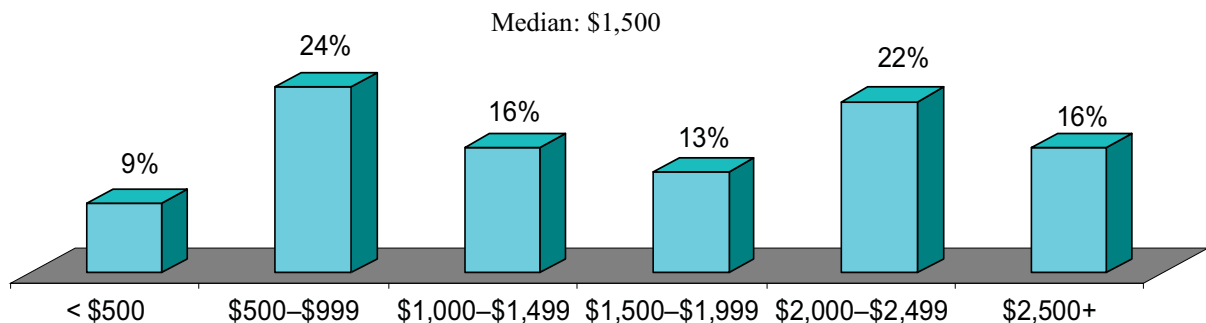
Note: Percentages reflect responses of the 45 districts paying one flat amount to all school coordinators.
Source: Staff survey of districts, Fall 2007.

District ESS Coordinators. Figure 2.L shows how district ESS coordinators are compensated. Two-thirds are not paid extra, because ESS duties are part of the job. About 1 in 5 districts provide annual extra-duty pay; the median for this is $2,500, as shown in Figure 2.M. A few districts pay an administrative supplement for overseeing several programs, including ESS.

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Figure 2.L
Compensation of District ESS Coordinators: FY 2007
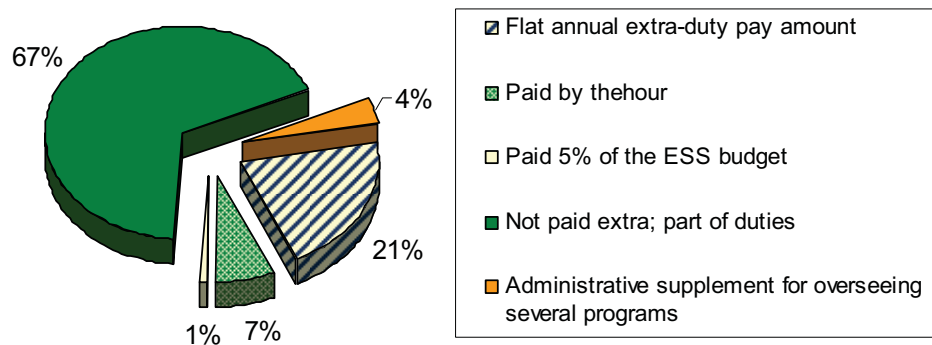
67%

4%

21%

1% 7%

- Flat annual extra-duty pay amount
- Paid by thehour
- Paid 5% of the ESS budget
- Not paid extra; part of duties
- Administrative supplement for overseeing several programs

Note: Eight districts did not answer this question.
Source: Staff survey of districts, Fall 2007.

Figure 2.M
Annual Extra-duty Pay for 35 District ESS Coordinators: FY 2007

Median: $2,500

23%   23%   26%   29%

< $2,000 $2,000-$2,499 $2,500-$4,999 $5,000+
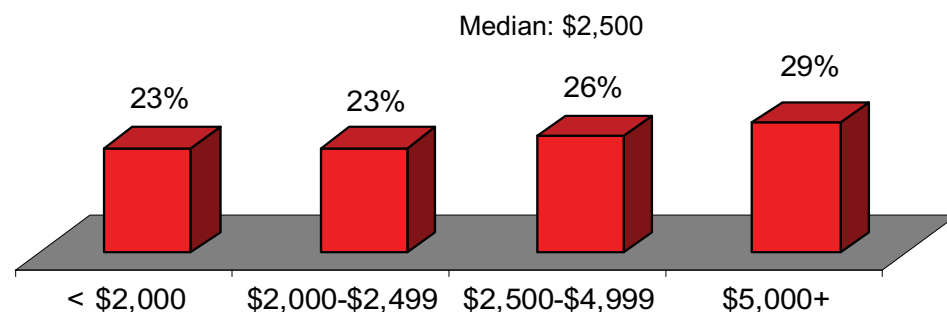
Note: Percentages reflect the responses of the 35 districts that provide annual extra duty pay for district coordinators.
Source: Staff survey of districts, Fall 2007.

Staffing Barriers

Schools report difficulties with finding teachers willing to take the time to provide ESS instruction outside the regular school day.

Respondents reported difficulties finding teachers willing to take the time to provide ESS. For instance, some teachers want to be at home with their own families and focus on their own continuing education. In areas of the state with limited economic opportunities, survey participants reported that teachers vie for the extra income provided by ESS. It was reported that some teachers nearing retirement are willing to teach ESS in order to boost their final 5 years of income.

The survey asked schools to report the impact of three barriers to staffing ESS programs.[3] As Figure 2.N illustrates, the most

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[3] Schools were also given an opportunity to report any other staffing barriers, but few were reported other than the 3 specified in the survey.

significant barrier is the difficulty of finding instructors able and willing to take the time to teach after school and in the summer.

Figure 2.N
Staffing Problems Reported by Schools: FY 2007

		Rarely/Never	Sometimes	Often
Staff too busy	Daytime Waiver	80%	14%	6%
	After School	26%	35%	39%
	Summer School	46%	33%	21%
Pay too low	Daytime Waiver	81%	15%	4%
	After School	68%	25%	7%
	Summer School	78%	17%	5%
Too few staff qualified in needed content areas	Daytime Waiver	83%	12%	5%
	After School	83%	14%	4%
	Summer School	82%	15%	3%

Percent of Schools

☐ Rarely/Never ☐ Sometimes ■ Often
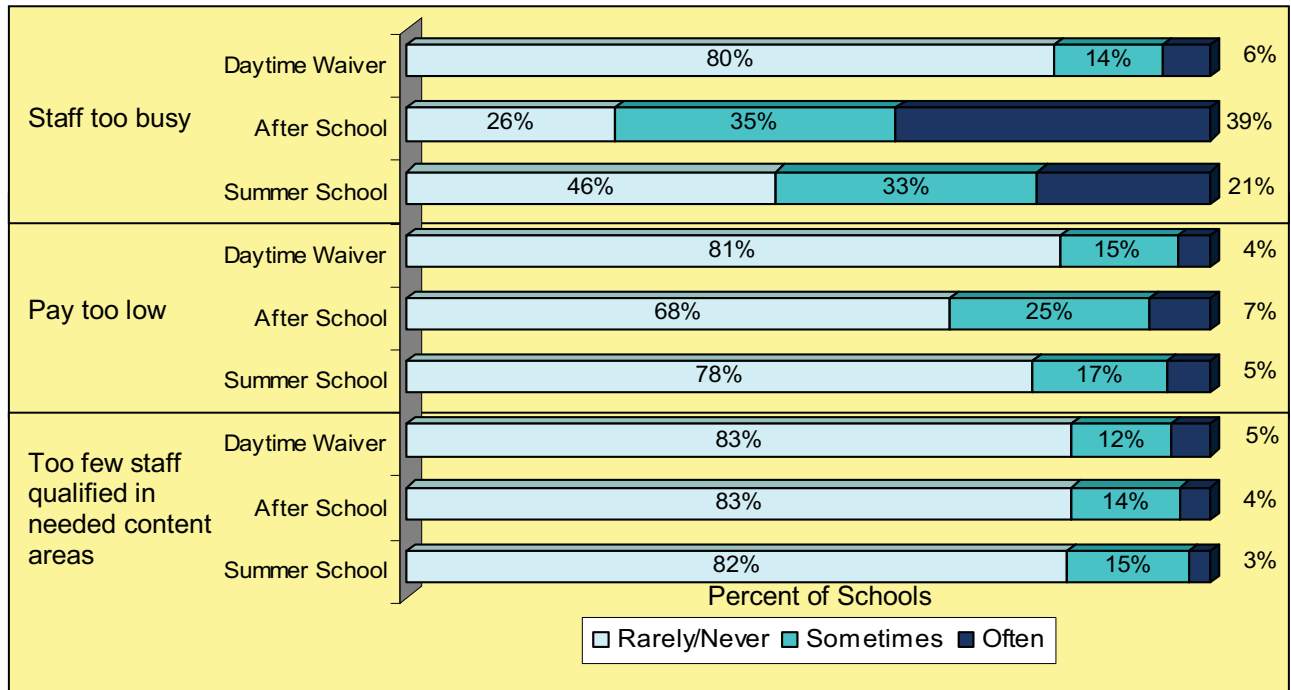
Source: Staff survey of schools, Fall 2007.

Staff Compensation

The survey of districts questioned districts on the issue of compensation for instructors and coordinators. The survey also found that, in addition to paying for instruction time, about 59 percent of schools also pay ESS instructors for planning time.

Staff Professional Development

Professionals working in schools are required by KRS 158.070 to have four 6-hour days of professional development (PD) per year. ESS instructors and coordinators are not required to receive PD directly related to providing ESS. Some of this PD could be helpful for improving ESS delivery. However, as Figure 2.O shows, only about one-third of school staff and one-fourth of district coordinators received PD directly related to the ESS program.

Figure 2.O
Instructors and Coordinators Receiving Professional
Development Directly Related to ESS: FY 2007
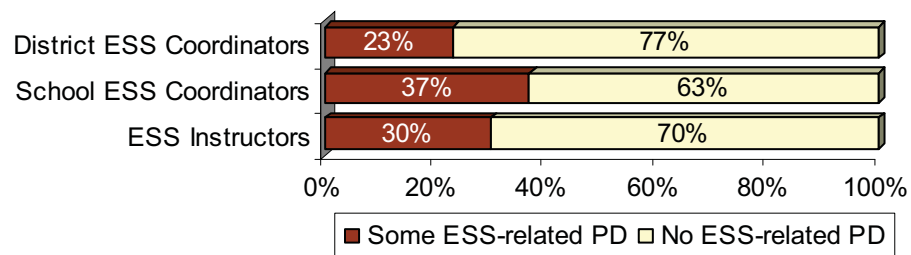
Source: Staff survey of districts and schools, Fall 2007.

Most who did receive ESS-related PD said that it was effective.

Among instructors and coordinators that did receive ESS-related PD, most said that it was effective in providing useful skills. The majority of district coordinators' PD consisted of attending KDE's annual district coordinators' meeting or other conferences, free training from software vendors, and paid training by consultants. School coordinators and instructors most often received PD from their district central office but also received PD at conferences, free training from software vendors, and paid training from consultants.

Half of districts and 41 percent of schools report having PD on specific instructional strategies to help struggling students. Few had other types of ESS-related PD that they felt would be helpful.

Figure 2.P summarizes survey responses about the availability and helpfulness of several specific types of PD. More detailed ratings are shown in Appendix D. It should be noted that only brief descriptions were provided, so survey participants' perceptions of what might be covered by such PD may vary. The most frequently provided PD relates to specific instructional strategies; half of districts and 41 percent of schools reported providing this type of PD. About one in five districts and schools has had PD on the implementation and administration of effective ESS programs. However, less than 20 percent have had PD on evaluating the effectiveness of services and managing ESS students' behavioral, attitudinal, and family issues. All of these types of PD were considered somewhat or very helpful.

Figure 2.P
Professional Development Provided on Specified Topics: FY 2007

Source: Staff survey of districts and schools, Fall 2007.

Percent reporting that they have
PD on the specified topics
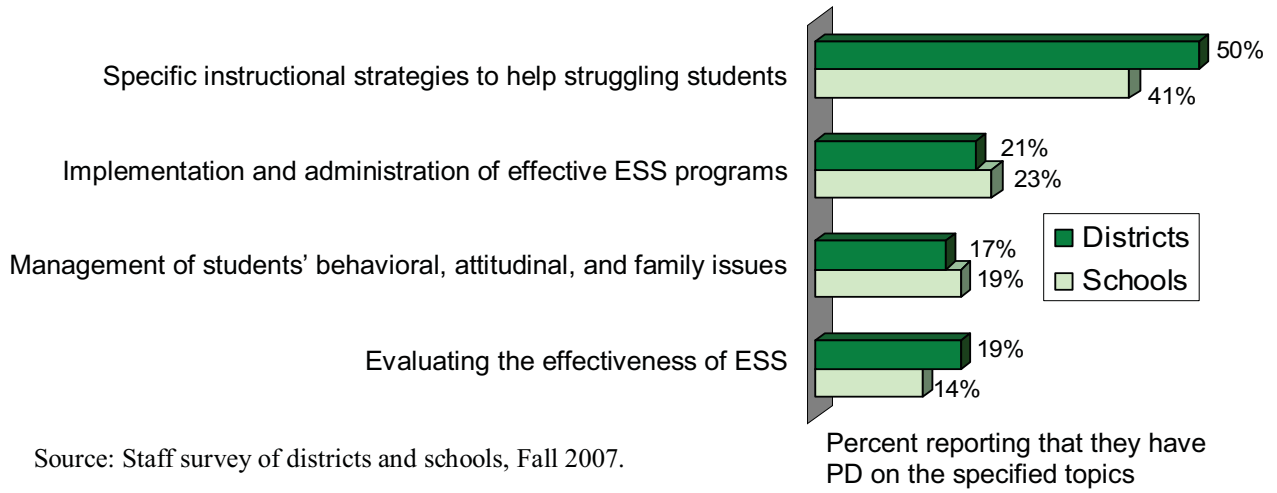
Other Resources. The survey also asked about the availability and helpfulness of other types of resources. Again, it should be noted that survey participants were given only brief descriptions, so there may be varying perceptions of what might be contained in these resources. As Figure 2.Q shows, approximately half of districts and schools report having best practices guides and recommended software. What is striking is that 65 percent of districts reported having examples of documents useful for the ESS program, but none of the schools reported having examples available for their use.

Figure 2.Q
Availability of Other Resources: FY 2007

Percent reporting that they
have the specified resources

Source: Staff survey of districts and schools, Fall 2007.
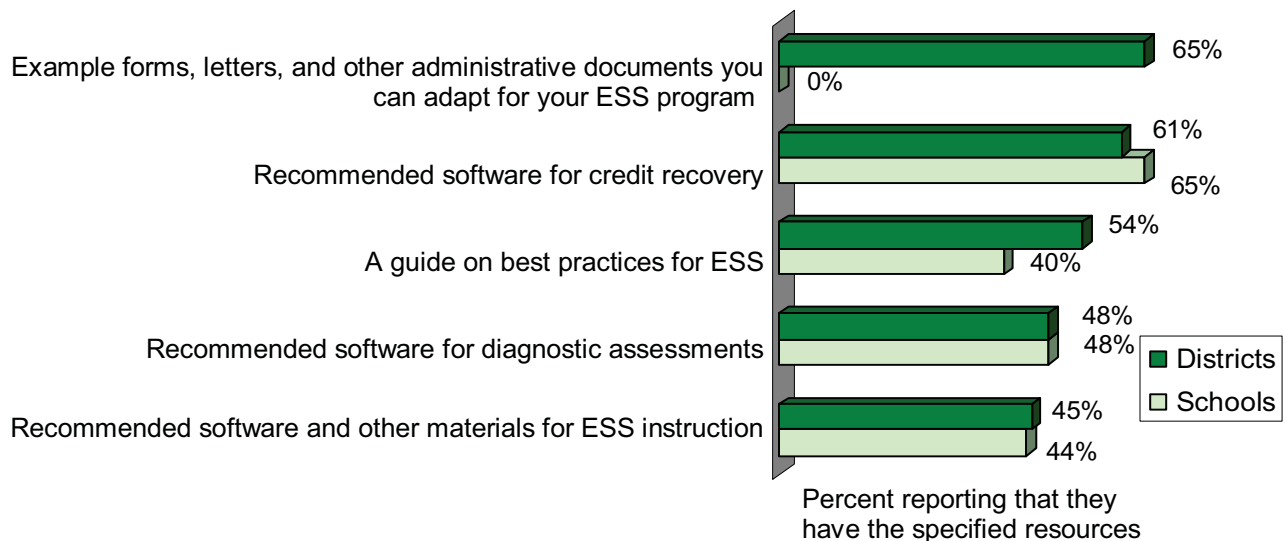
Districts and schools considered all of these resources somewhat or very helpful. This is consistent with site visit and survey participants' repeated comments that they wished for more information.

Chapter 3

ESS Program Characteristics and Impact

Introduction

This chapter presents available information on the characteristics and impact of ESS programs.

This chapter discusses available data on the characteristics of ESS programs and student participants. The few available measures of program effectiveness are then presented and discussed.

Characteristics of the Program and Participants

Types of Service Models

Among the many service models available, most schools offer more than one type, often including an after-school or daytime waiver program. Schools with daytime waivers are required to offer at least one other type of program.

Regulations governing ESS offer wide flexibility to districts in developing programs in their schools. Figure 3.A shows the types of programs offered by schools and the number of different types per school. After-school programs are the most used option (78 percent), followed by daytime waivers (49 percent). Most schools offer more than one type of program.

Figure 3.A
Types and Numbers of ESS Programs Offered by Schools: FY 2006
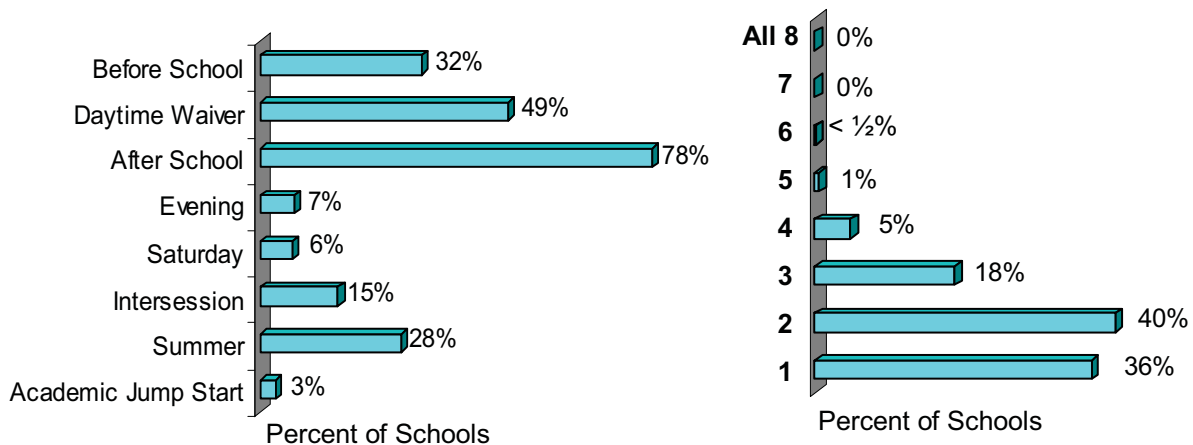
Notes: Percentages by type of program add to more than 100 because 73 percent of schools offered more than one type of program. After-school programs typically start at the end of the school day, while evening programs start a few hours later. Intersession programs take place during breaks. Academic Jump Start gives students a preview of the upcoming year's work.
Source: Staff compilation of data from the Kentucky Department of Education.

KDE guidelines require schools with daytime waivers to offer at least one additional type of program (Commonwealth. Dept. of Ed. *Daytime*). However, staff found 143 schools that had no FY 2006 records for programs other than the daytime waiver. This finding was reported to KDE, which investigated this matter. According to KDE staff, most schools utilize additional programs but failed to report them due to oversight or because non-ESS funds were used. The few schools with only a daytime waiver program claimed to be unaware of the requirement. KDE is working with those schools to bring them into compliance (Simpson. "ESS").

Student Participation in the Program

In FY 2006, approximately 148,000 students participated in ESS during the regular school year.[1] In addition, more than 11,000 participated during summer school in 2006. The bulk of ESS students attended after-school programs, and many attended daytime waiver and before-school programs. Figure 3.B shows the number of students participating in each type of program.

> In FY 2006, approximately 148,000 students participated in ESS during the regular school year and more than 11,000 participated during summer. Participation was highest, by far, in after-school programs.

Figure 3.B
Student Participation by Type of Program: FY 2006

Program	Participants
Before School	17,093
Daytime Waiver	37,502
After School	91,799
Evening	669
Saturday	3,369
Intersession	8,472
Summer	11,360
Academic Jump Start	1,203
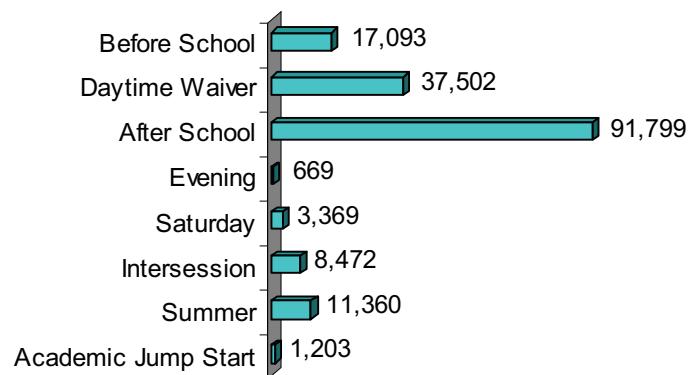
Note: Some students participated in more than one type of program.
Source: Staff compilation of data from the Kentucky Department of Education.

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[1] KDE's January 24, 2007, *Kentucky Education Facts* Web page reported 143,538 ESS participants for FY 2006. However, OEA staff analysis of data in the Student Information System found 144,282 unique student identification numbers. In addition, staff contacts with districts found that at least 4,327 students who received ESS had no ESS record in the system. Those additional students bring the total count receiving services to 148,609.

Most daytime waiver programs are in elementary schools despite the fact that the daytime waiver was meant primarily to avoid scheduling conflicts with after-school activities for high school students.

As Figure 3.C shows, Student Information System data indicate that elementary school students are 4 times as likely to participate in daytime waiver programs as are high school students. This is consistent with site visit findings. This is somewhat surprising, since high schools' scheduling conflicts outside the regular school days was a catalyst for the daytime waiver program (Brinly).

Figure 3.C
Student Participation by Grade Level: FY 2006
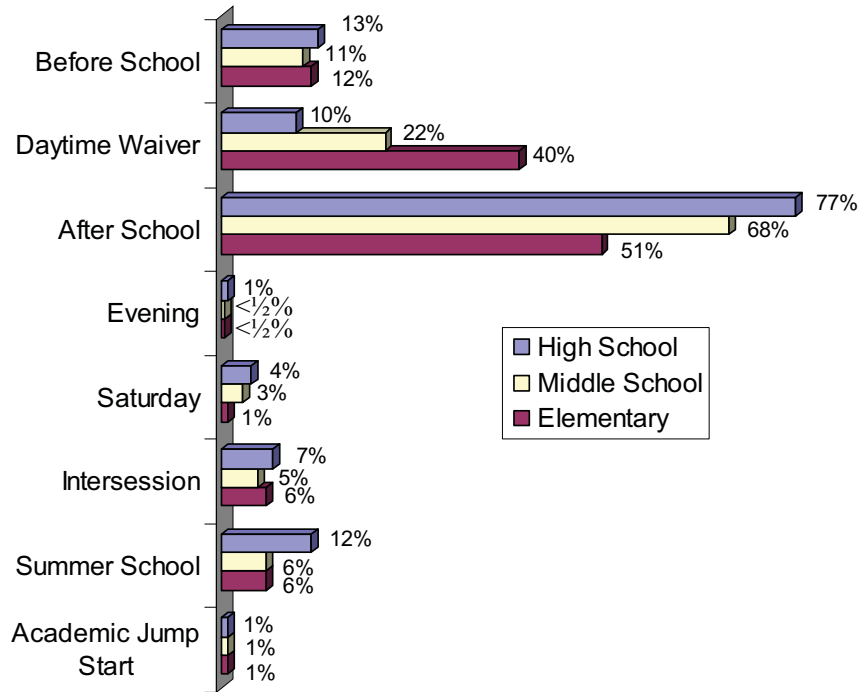
Source: Staff compilation of data from the Kentucky Department of Education.

Characteristics of ESS Students

ESS students mirror the general student population in terms of gender and ethnicity. The disproportionate number eligible for free and reduced-price lunch reflects the greater academic need of economically disadvantaged youth.

KDE collects, through the Student Information System, characteristics of all students receiving ESS. Staff compared these to characteristics of the total Kentucky public school student population, using data from KDE and from the U.S. Department of Education's National Center for Education Statistics.

Gender. Fifty-three percent of ESS participants are reported to be male, with only 47 percent female. These percentages are comparable to the 52 percent of males and 48 percent of females among all Kentucky public school students.

Ethnicity. ESS participants also mirror the total student population in terms of ethnicity. Eighty-three percent of ESS participants are white, compared to 85 percent of all Kentucky public school students. Thirteen percent are African American and 2 percent are Hispanic, comparable to the 11 percent and 2 percent, respectively, of all students.

Economic Disadvantage. A widely used proxy for economic disadvantage is eligibility for free or reduced-price lunches through the National School Lunch Program. Schools and districts report this measure to KDE along with the ESS data . Numerous studies have shown that students eligible for this program tend to have lower academic test scores. For this reason, it is not surprising that 56 percent of ESS participants are eligible for free or reduced-price lunch, compared to only 48 percent of all Kentucky public school students.

Daytime waiver programs appear to reach more economically disadvantaged students than do other types of programs.

Figure 3.D shows the percentage of economically disadvantaged students by type of program. Daytime programs appear to reach more economically disadvantaged students than do other types of programs. This finding is consistent with comments made by site visit participants.

Figure 3.D
Economically Disadvantaged Participants by Program Type:
FY 2006

Program Type	Economically Disadvantaged	Not Disadvantaged
Before School	51%	49%
Daytime Waiver	66%	34%
Evening	60%	40%
Saturday	55%	45%
Intersession	57%	43%
After School	52%	48%
Summer School	60%	40%
Academic Jump Start	44%	56%
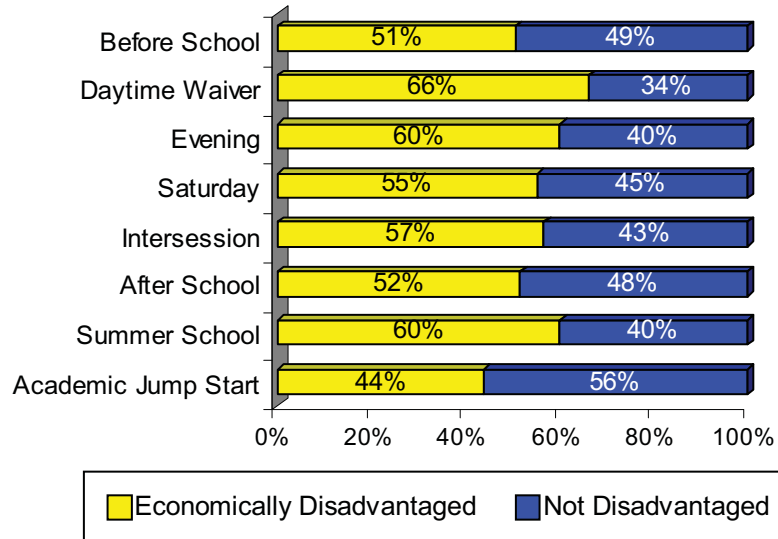
Note: Economic disadvantage is defined as eligible for free or reduced-price lunch.
Sources: Staff compilation of data from Kentucky Department of Education.

Referral of Students to the Program

Most students are referred for ESS by a teacher.

Entry into the ESS program is generally initiated by a teacher, as indicated in Figure 3.E. Other means of referral include students who request assistance and parents or guardians who refer their children.

Figure 3.E
Source of Referrals to ESS: FY 2006

Source	Percentage
Teacher	85%
Self	13%
Parent	7%
Instructional Assistant	<½%
Guardian	<½%
Unknown	3%
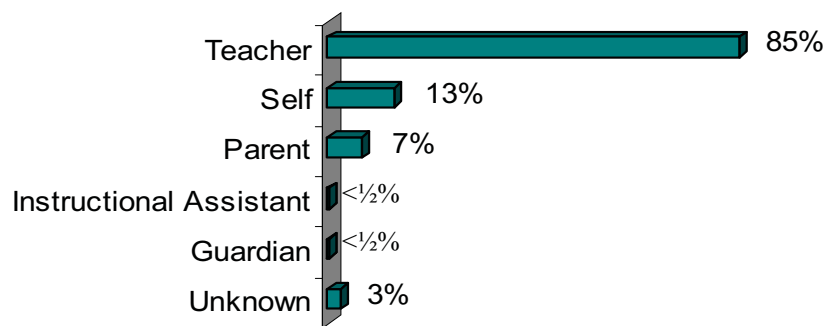
Note: Percentages add to more than 100 because some students were referred by more than one person.
Source: Staff compilation of data from the Kentucky Department of Education.

By regulation, referral of a student is to be documented on a referral form. A review of schools' referral forms revealed a variety of referral criteria, ranging from the need for extensive

assistance with an entire content area to the need for brief assistance with one concept. Students may also be referred to make up missed homework assignments or tests.

Types of Assessments Used for Referring Students

Schools are encouraged to assess students' understanding of content before and after participation in ESS. As Figure 3.F shows, based upon district submitted data, almost half of these assessments are informal tests made by the teacher. However, standardized, formal assessments are used one-fourth of the time. In some instances, student grades or formal analysis of the student's work is used.

Figure 3.F
Type of Assessment Used Before and After Students'
Participation in ESS: FY 2006
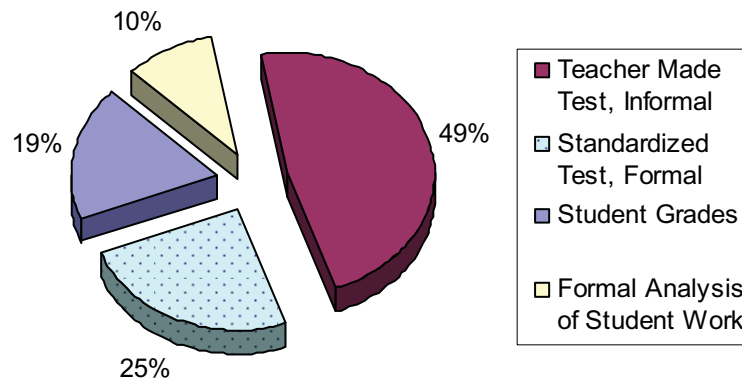
Source: Staff compilation of data from the Kentucky Department of Education.

The type of assessment used differs somewhat by type of program, as can be seen in Figure 3.G. For daytime waiver programs, schools are most likely to use standardized, formal assessments to determine students' understanding of content. For other programs, such as summer school or Saturday school, schools rely more on informal tests made by teachers and on student grades.

Figure 3.G
Type of Assessment Used by Type of Program: FY 2006
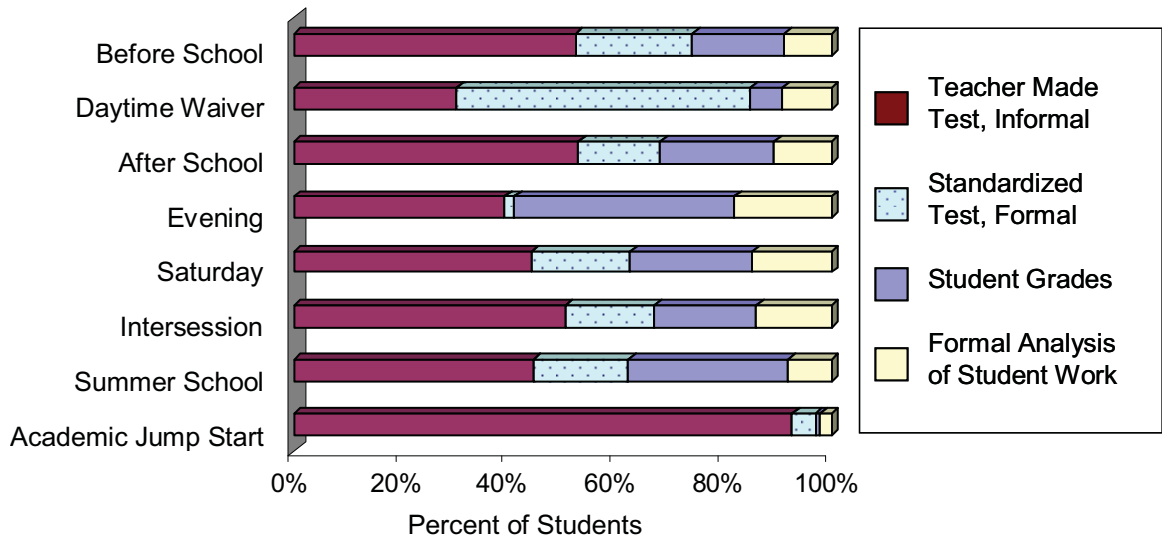
Source: Staff compilation of data from Kentucky Department of Education.

Formal, standardized tests are used most often in elementary grades.

As Figure 3.H shows, formal, standardized tests are used most often in elementary grades. These tests are used occasionally in middle school but rarely in high school.

Figure 3.H
Type of Assessment Used by Grade: FY 2006
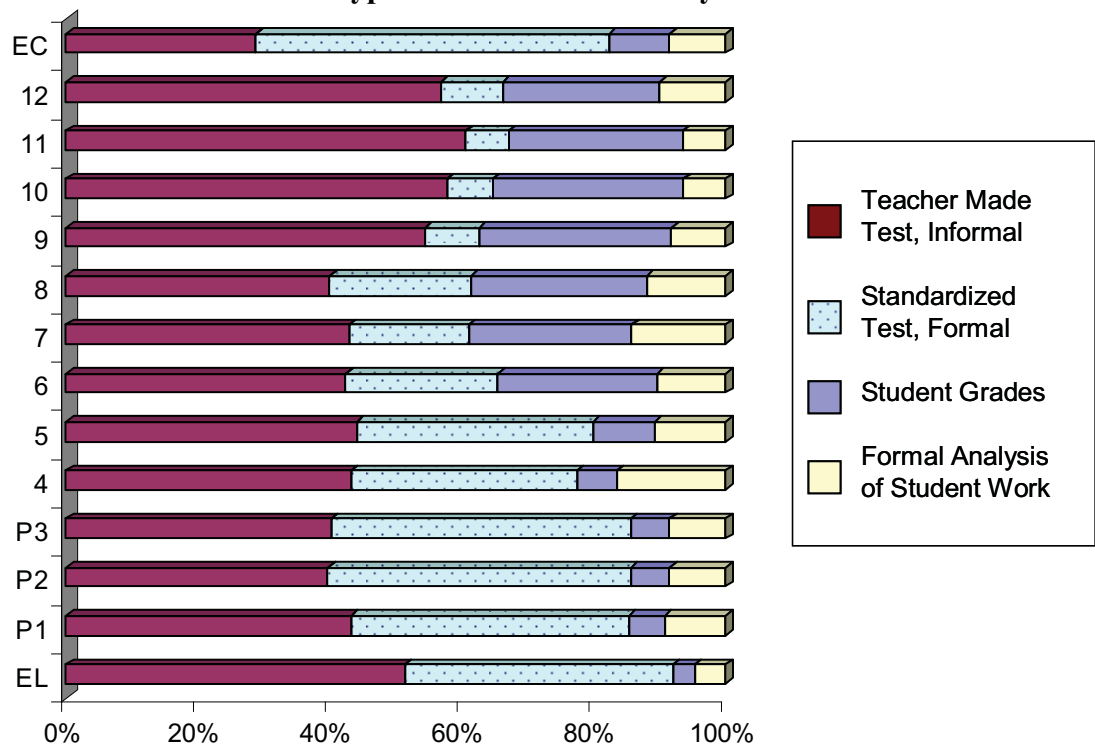
Notes: EC=Exceptional Child, who may be in any grade. EL=Entry Level (Kindergarten).
P1, P2, and P3 refer to primary grades 1 through 3.
Source: Staff compilation of data from the Kentucky Department of Education.

Learning Goals

The learning goal for most students is either reading or math. Some receive help with other content areas.

Figure 3.I shows the percent of ESS participants receiving services in each content area, as reported through the Student Information System. The areas receiving the most emphasis are reading and math. Almost all site visit participants said that these are the two areas of most critical academic need. ESS programs sometimes provide assistance in writing, science, or social studies, while other subjects are rare. Some site visit respondents commented that reading and writing assistance are often intertwined, so that reading assistance usually requires some help with writing and vice versa.

Figure 3.I
Subject of Primary Learning Goal: FY 2006

Subject	Percent
Reading	47%
Math	45%
Writing	15%
Science	13%
Social Studies	10%
Arts & Humanities	3%
Vocational Studies	2%
Practical Living	2%
Unknown	< ½%
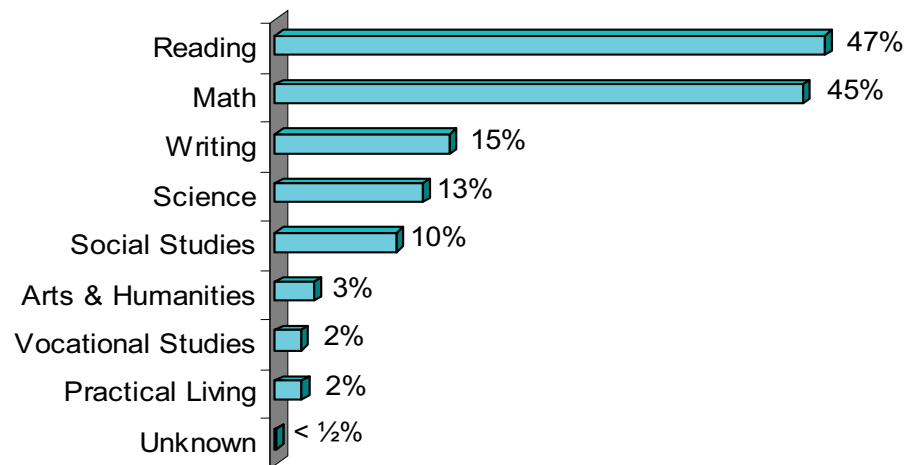
Source: Staff compilation of data from the Kentucky Department of Education.

Emphasis on reading diminishes in higher grades as increased time is devoted to other subjects.

Learning goals differ by grade level, as shown in Figure 3.J. While reading is emphasized in the early grades, it gradually diminishes in higher grades as increased time is devoted to social studies, science, and other subjects. The focus on math varies somewhat by grade, though not so much as does reading. Writing receives extra attention in grades 4, 7, and 12, where writing portfolios are within the accountability index.

Figure 3.J
Primary Learning Goal by Grade: FY 2006
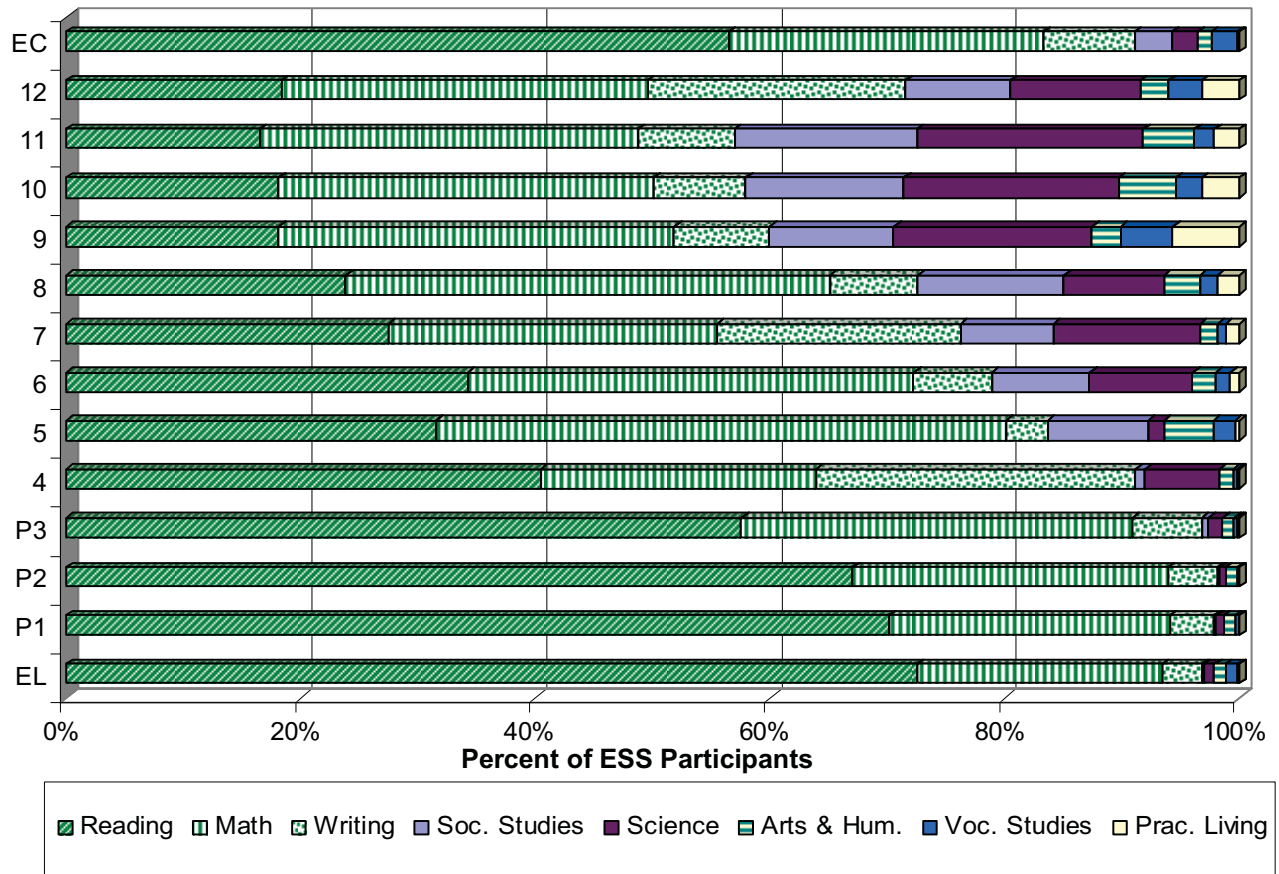
Notes: EC=Exceptional Child, who may be in any grade. EL=Entry Level (Kindergarten). P1, P2, and P3 refer to primary grades 1 through 3.
Source: Staff compilation of data from the Kentucky Department of Education.

Daytime waiver programs are more likely than others to focus on reading and math; this reflects the fact that more of these programs are in elementary schools.

As indicated in Figure 3.K, program types differ slightly with respect to learning goals. For example, daytime waiver programs are dedicated primarily to reading and math, with few other subjects; this reflects, at least to some extent, the fact that many of these programs are in elementary schools where these subjects are emphasized. Academic Jump Start emphasizes practical living more than any other program.

Figure 3.K
Primary Learning Goal by Program Type: FY 2006
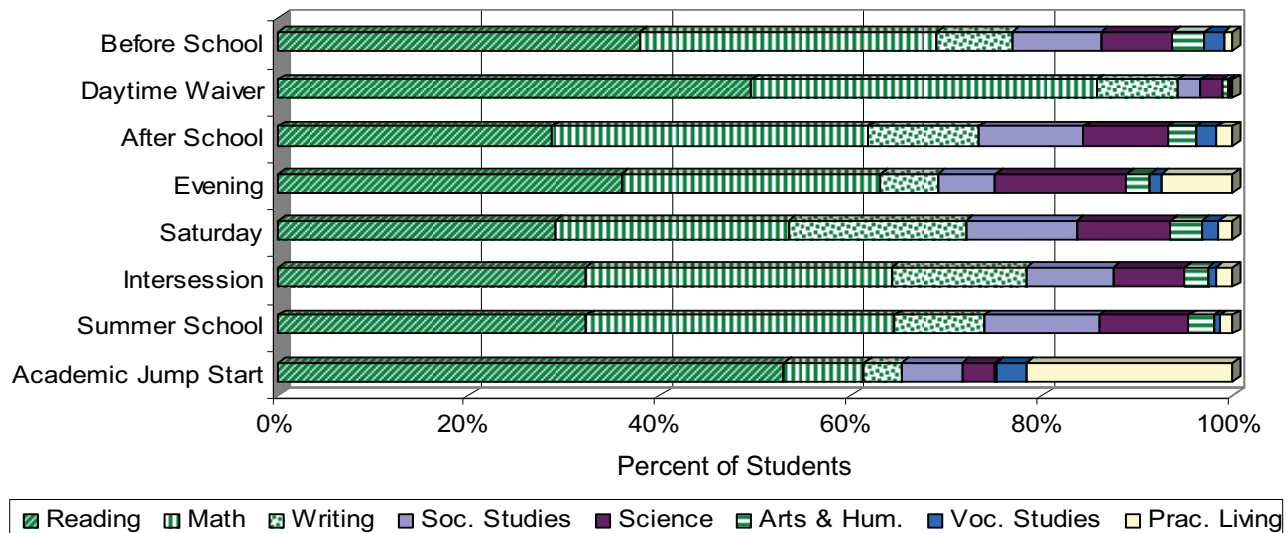
Source: Staff compilation of data from the Kentucky Department of Education.

KDE's Kentucky Virtual High School (KVHS) offers online middle and high school courses that conform to Kentucky's Program of Studies. The courses are accompanied by access to teacher assistance and access to the virtual library, student center, and research tools.

Despite its strengths, KVHS is the sole credit recovery channel for less than one-third of high schools. Many purchase other types of software that are perceived to cost less.

Credit Recovery. Students who fail classes are given opportunities to recover credits for these courses. One credit recovery option is KDE's Kentucky Virtual High School (KVHS), which offers online middle and high school courses that conform to Kentucky's Program of Studies. Teachers specially trained in online teaching are available to assist students by e-mail or phone. Students also have access to the Kentucky Virtual Library and a virtual student center with research tools.

However, as shown in Figure 3.L, less than one-third of high schools said they rely solely on KVHS for credit recovery. Comments made during site visits suggest that schools may be deterred by the cost of KVHS. KDE's Web site indicates a cost of $150 per semester per student; a full credit is often two semesters and costs $300 per student. KDE officials informed OEA that the cost can be reduced to $100 per year for a student using KVHS for credit recovery; it is not known how many schools are aware of that fact. During site visits, some schools claimed that it is more economical to purchase software programs that can be used by multiple students than to allocate larger sums of money dedicated to single students. However, it is not clear whether the contents of software programs are aligned to Kentucky's Program of Studies. During site visits, OEA received anecdotal information that teachers in schools using software programs for credit recovery attempt to correct issues of content alignment by having students skip some portions of a course. It is unknown whether this practice is sufficient to tailor the software to the needs of the student and

Kentucky's Program of Studies, nor is it clear what the impact such modifications have on the veracity of the results of the software program.

Figure 3.L
Use of Kentucky Virtual High School for Credit Recovery: FY 2007

Use only KVHS for credit recovery 29%

Use something other than KVHS for credit recovery 71%
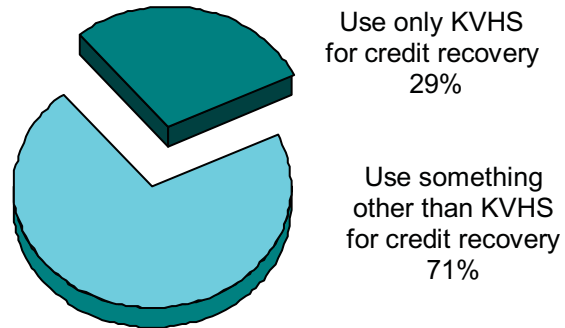
Source: Staff Survey of schools, Fall 2007.

PLATO and Ed Options' Novel Star are the two software programs used most often. Jefferson County's eSchool is often used, also.

High schools using programs other than KVHS for credit recovery were asked to report the name of the software program. PLATO and Novel Star are used most often, as shown in Figure 3.M.

Figure 3.M
Software or Courseware Used for Credit Recovery
Instead of Kentucky Virtual High School: FY 2007

Program	Percentage
PLATO	31%
Novel Star (Ed Options)	30%
Jefferson County eSchool online	20%
Jefferson County eSchool written packets	5%
A+	5%
iclasses.org (Ohio Valley Ed. Coop.)	5%
CCC Computer Curriculum Corporation	3%
Study Island	2%
Other	7%
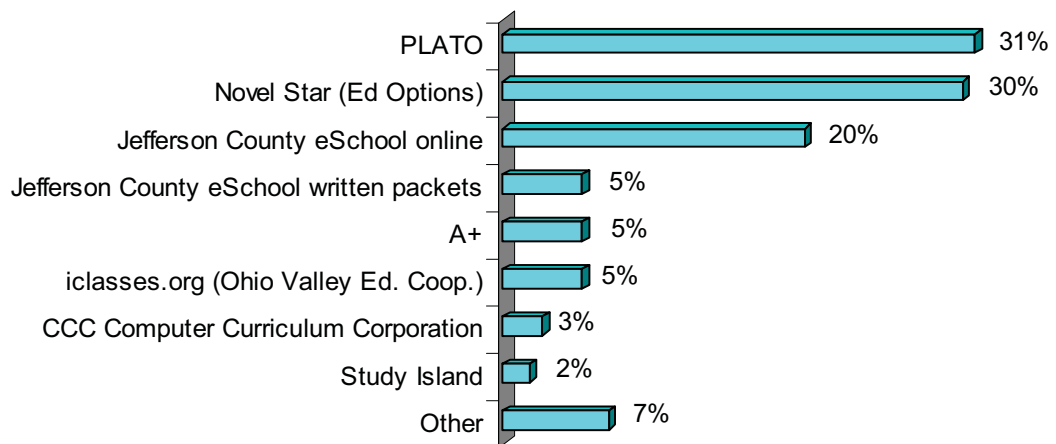
Note: Percentages add to more than 100 percent because some schools use more than one type of software.
Source: Staff Survey of schools, Fall 2007.

Total Hours of Attendance

A majority of students receive no more than a total of 15 hours of ESS during the year; almost one-third receive 5 or fewer hours.

Another data point collected by the Student Information System is the number of hours of ESS a student receives. As figure 3.N shows, a majority receive no more than 15 hours of ESS in total during the year. Almost one-third receive 5 or fewer hours.

**Figure 3.N
Hours Attended Per Student: FY 2006**
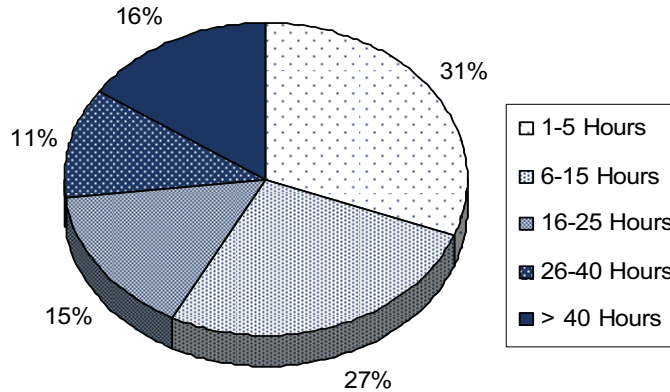
Source: Staff compilation of data from the Kentucky Department of Education.

Hours of Attendance by Program Type. As shown in Figure 3.O, students in daytime waiver, after-school, and summer-school programs attended more hours than those in most other programs.

**Figure 3.O
Hours Attended by Program Type: FY 2006**
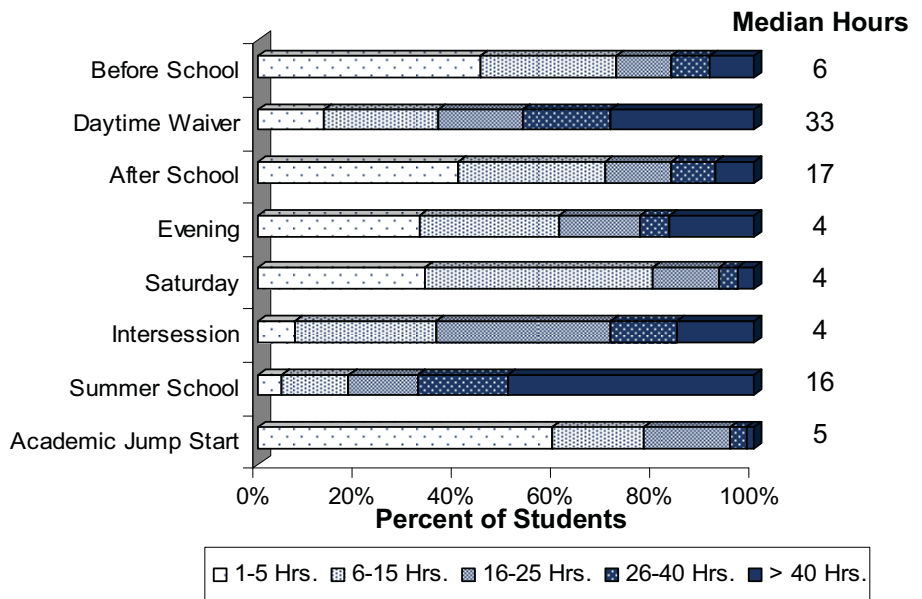
Source: Staff compilation of data from the Kentucky Department of Education.

Hours of Attendance by Grade Level. As students move from elementary to middle to high school, they receive fewer hours of assistance, as shown in Figure 3.P. In FY 2006, one-third of middle school students and almost two-thirds of high school students received fewer than 6 hours of assistance during the entire academic year.

Figure 3.P
Hours Attended by Grade Level: FY 2006
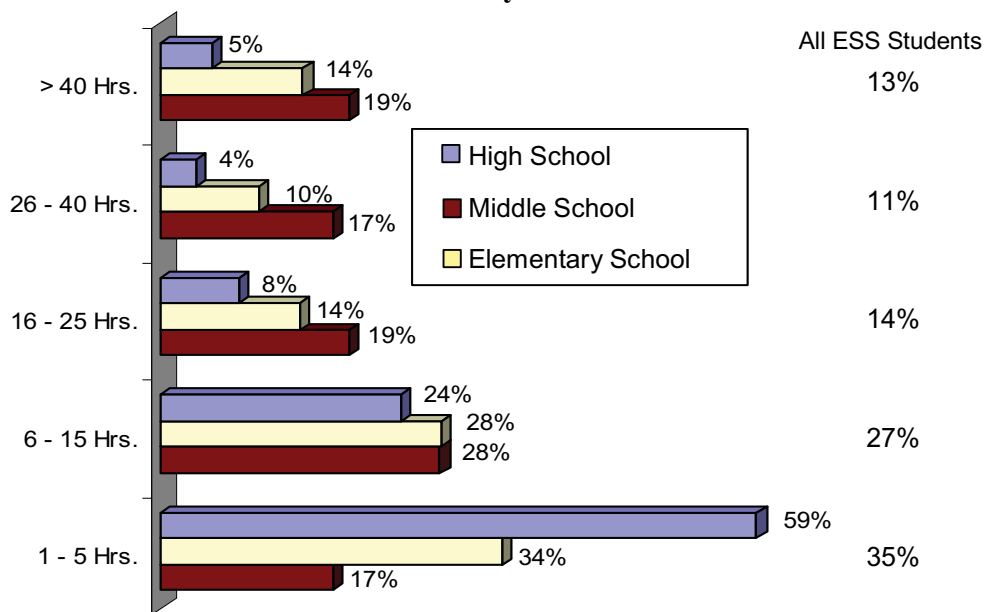
Hours	All ESS Students
> 40 Hrs. — High School 5%, Elementary School 14%, Middle School 19%	13%
26 - 40 Hrs. — High School 4%, Elementary School 10%, Middle School 17%	11%
16 - 25 Hrs. — High School 8%, Elementary School 14%, Middle School 19%	14%
6 - 15 Hrs. — High School 24%, Elementary School 28%, Middle School 28%	27%
1 - 5 Hrs. — High School 59%, Elementary School 34%, Middle School 17%	35%

Legend: High School, Middle School, Elementary School

Source: Staff compilation of data from Kentucky Department of Education.

Non-attendance. The Student Information System tracks attendance once a student starts ESS but does not track referred students who never attend. In site visits, most schools indicated they do not keep records of these students; they estimated that a majority of those referred for after-school services fail to attend. Schools responding to the survey estimated higher attendance rates than the site visits suggested, as Table 3.Q shows. Schools responding to the survey estimated that 1 in 10 referred elementary school students never attend after-school and summer-school programs. By high school, the proportion that never attends rises to 1 in 5. Daytime waiver programs are not suffering attendance problems, a distinct advantage cited by participants.

Figure 3.Q
Percent of Referred Students Who Never Attend ESS, by
Selected Program Type, as Estimated by Schools: FY 2007
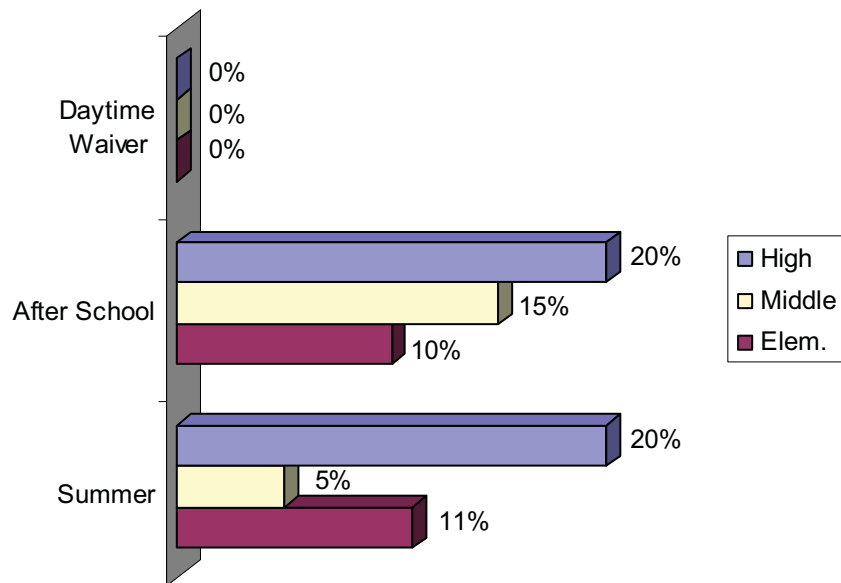
Note: The medians of reported percentages are shown.
Source: Staff survey of schools, Fall 2007.

Mandatory Attendance

Most districts do not mandate
attendance. Some commented
that they would do so if they could
afford to provide transportation.

Most districts do not mandate attendance. Only 9 percent of
districts reported a policy mandating attendance for some or all
referred students. Several survey and site visit participants
commented that they would like to make attendance mandatory if
they could afford to provide transportation.

Indicators of Program Impact

Challenges to Evaluating Education Programs

The flexibility and complex context
of ESS, like many education
programs, makes it difficult to
evaluate the program's outcomes.

Evaluating outcomes for a program that is highly flexible and
embedded in a complex context is difficult. Even the U.S.
Department of Education, which spends some $100 million
annually on evaluation and program data collection, finds that its
program data are not always helpful. Thus, key decision makers
are forced to continue program operation without sufficient
information. The department points out that many federal
education programs are more like funding streams than structured
programs (*New Directions*). The same could be said of ESS, to
some extent.

Reporting and data collection problems render the few available measures of program outcomes unreliable and potentially misleading. However, these measures can provide some insights when comparing results by program type, intensity of instruction, and grade level.

Few statewide measures of ESS program outcomes are available. Reporting and data collection problems render the few available measures of program outcomes unreliable and potentially misleading. Given these shortcomings, some measures can provide insights only in comparative terms, such as different levels of success by program type, intensity of instruction, and grade level.

Currently available measures of the ESS program's impact include CATS score comparisons, results reported through the Student Information System, and opinions of effectiveness reported by respondents to OEA's survey. Each of these is discussed below.

CATS Score Comparisons

Kentucky Performance Reports present gaps in CATS scores between ESS participants and nonparticipants.

For each subject and grade assessed, KDE's Kentucky Performance Reports and NCLB reports show gaps in average CATS scores between students who participated in ESS and those who did not. The *CATS Interpretive Guide* makes no mention of how to interpret these gaps (Commonwealth. Dept. of Ed. *2007 CATS*). However, information obtained through the site visits and district documents indicate that at least some districts and schools assume the smaller the gap, the more successful the ESS program. Unfortunately, these gaps can be distorted by many factors that differ between schools and over time within the same school, such as referral criteria, attendance patterns, and types of services offered. CATS reports do not provide pre- and post-ESS measures that could help to control for some differences. Due to these many factors, these gaps are not valid and reliable indicators of ESS program effectiveness.

Due to many factors, the gaps between ESS participants and nonparticipants reported in Kentucky Performance Reports are not valid and reliable indicators of ESS program effectiveness

Lack of Pre- and Post-ESS Measures. If students are tested on the same content before and after receiving ESS, the pre- and post-ESS measures could be compared to measure improvement. CATS tests are administered only once a year in the spring, after most ESS assistance has been provided. Gaps that remain at the end of the year are not adjusted for the severity of academic difficulties that students had when starting the program.

Referral Criteria. Although many criteria are comparable, schools have different referral strategies. Some schools carefully target ESS funds to students who do not already have access to other programs; for example, these schools will not target special education students because special education teachers are already collaborating in the classrooms. As another example, since many schools have early reading programs, ESS reading services may be targeted to the older grades, which do not have these programs.

Some schools make few proactive efforts to target the neediest students; these programs tend to serve more B and A students than do other programs. As a result, the CATS scores for participants in these programs are higher and, therefore, the gap is smaller between CATS scores of participants and nonparticipants. One unintended consequence is that these ESS programs can appear to be more effective simply because the participants were more proficient at the outset.

Attendance Patterns. Even when the neediest students are referred, attendance is generally not required. Several schools mentioned that the students who need ESS the most are the least likely to attend, while students earning A's and B's are eager to attend. To the extent that this occurs, smaller gaps in CATS scores would not truly reflect greater effectiveness of ESS.

Services Offered. In order to target areas of greatest need, some programs serve only selected subjects or grade levels. Kentucky Performance Reports identify a given student as an ESS participant in all test reports, regardless of the content area of ESS assistance or the number of hours of assistance. So, for example, an ESS participant who received only a few hours of assistance in reading is counted as an ESS participant in the report of math scores, even though no math assistance was provided.

Outcomes Reported Through SIS

Schools' reports of ESS program results through the Student Information System are subject to limitations that affect their validity and reliability.

Results Measure. Through the Student Information System, schools are asked to report the results of ESS for each student by selecting all that apply from a list of five possible results. As shown in Figure 3.R, most students were reported to have improved class performance by the time they exited the ESS program in 2005-06.

This measure has limited validity and reliability. For example, improvement in class performance is not defined, so it can be subjective. The magnitude and types of improvements are not measured. Also, some results may be ambiguous or understated. For example, as shown in Figure 3.R, only 13 percent of ESS participants were reported to have passed a course or earned a credit. It is unlikely that the other 87 percent failed. Instead, schools may have forgotten to record this outcome or may not have considered passing the course a direct result of ESS. The interpretation of the person entering the data likely impacts the validity of the data collected.

Figure 3.R
Results of ESS Reported in Student Information System: FY 2006
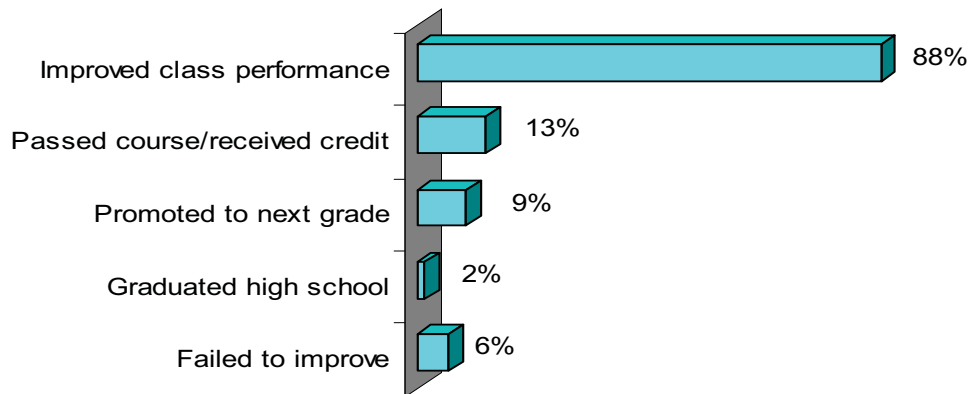
Note: Percentages add to more than 100 because schools were instructed to select all that apply. However, some categories may be understated if schools did not follow the directions to select every category that applied.
Source: Staff compilation of data from the Kentucky Department of Education.

Schools report each student's level of content understanding before and after receiving ESS. A comparison of these measures suggests that ESS lead to considerable improvement. However, these measures are subjective and not well defined.

Entry and Exit Measures of Content Understanding. For FY 2006, schools reported each student's content knowledge at the time of ESS program entrance and exit.[2] Figure 3.S shows that upon entering ESS, 10 percent of students were reported to understand or completely understand the content related to their primary learning goal. By the time they exited, 50 percent were reported to understand or completely understand and another 43 percent understand some related concepts.

Comparing the two measures provides some insights into the impact of ESS; however, as previously noted, these measures are subjective, as they are not clearly defined in regulation or other policy guidance offered by KDE.

Figure 3.S
Student's Knowledge of Content When Entering ESS Program
Compared to When Exiting: FY 2006

	Entry	Exit
Completely understands content	1%	7%
Understands content	9%	43%
Understands some concepts related to content	49%	43%
Does not understand content	30%	5%
Unsatisfactory	11%	2%
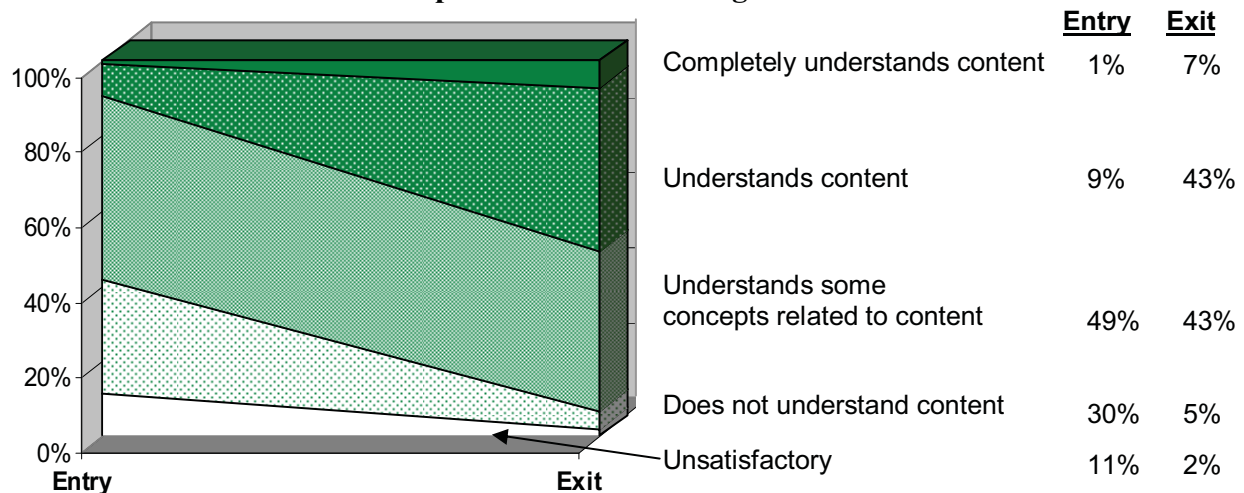
Source: Staff compilation of data from Kentucky Department of Education.

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[2] KDE removed entry and exit measures from the system starting in the 2006-07 school year.

Outcomes are best when students receive more than 5 hours of ESS assistance.

The number of ESS hours attended correlates with student comprehension of content covered. As Figure 3.T shows, although those attending 1-5 hours can improve, their outcomes improved if they received more hours of ESS assistance.

Figure 3.T
Percent of Students Whose Content Understanding Reportedly Improved,
by Hours of ESS Assistance: FY 2006
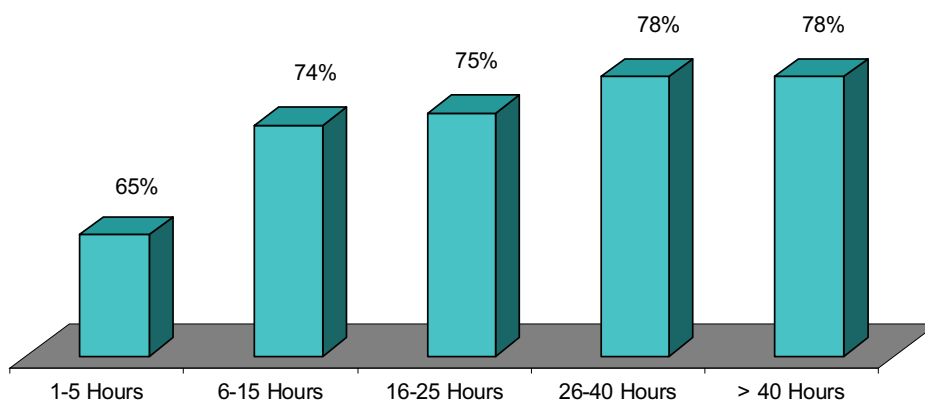
Source: Staff compilation of data from KY Department of Education.

Opinions of Effectiveness Reported by Survey Participants

In the survey, each district was asked to provide an overall rating of ESS program effectiveness in achieving the major goals laid out in ESS regulation (704 KAR 3:390 Sec. 2 (1)). Similarly, each school was asked to rate the effectiveness of its programs in achieving each goal.

The high program effectiveness reported by districts and schools shows their overwhelming support of the ESS program. However, most base their reports on opinion rather than on formal evaluations. ESS is perceived to be relatively better at improving understanding of specific content areas than at improving retention and dropout rates or reducing achievement gaps.

As Figure 3.U shows, almost all districts reported that their ESS programs are somewhat or very effective at achieving the goals laid out in regulation. The programs are considered most effective at improving students' understanding in one or more specific content areas.

Schools reported similar opinions, which are shown in Appendix E. They reported daytime waiver programs more effective than after-school or summer-school programs.

Although these results show districts' and schools' overwhelming support for the ESS program, it should be noted that most responses to this question are opinions of the survey respondents, not formal evaluations. Many survey participants expressed concerns about keeping the ESS program alive; thus, responses may reflect the desire to portray the program in a positive light.

Figure 3.U
Districts' Opinions Regarding Overall Effectiveness of ESS Programs in Their Districts:
FY 2007
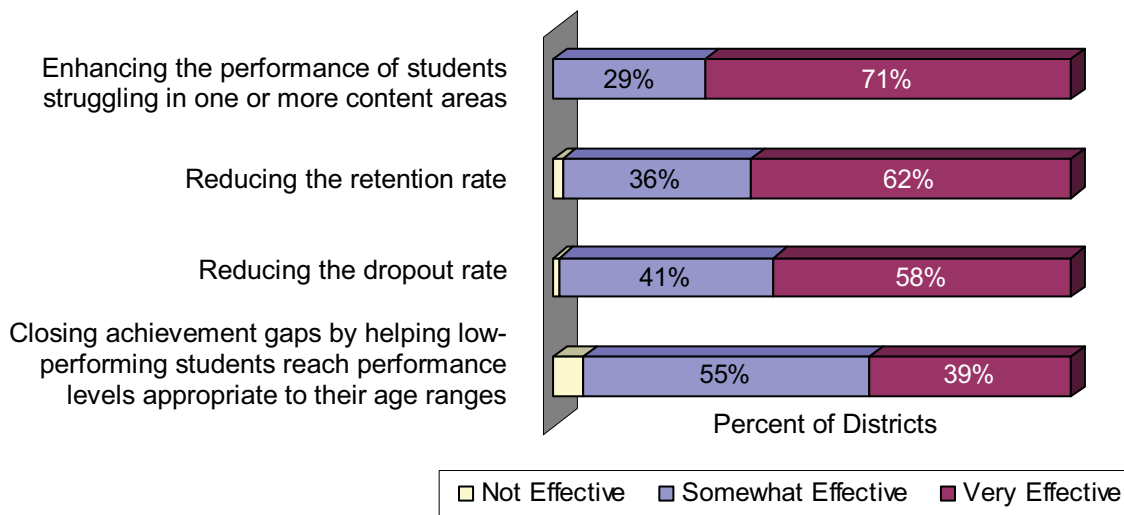
Source: Staff survey of districts, Fall 2007.

Conclusion

> While the available data provide insights, they are not sufficient for a solid outcome evaluation. This would require collecting more objective measures, before and after program participation, for a randomly assigned group that participates in the program and a randomly assigned control group that does not participate.

This section demonstrated that the available data provide some insights but are not sufficient for a solid outcome evaluation. Such an evaluation would require more objective measures, data collection before and after program participation, and reporting at the individual student level. In addition, a rigorous evaluation of program impact would compare the content knowledge of students participating in the program to the knowledge of a similar control group that does not participate, with students randomly assigned to each of those groups (Rossi, P. *Evaluation* 258).

Chapter 4

ESS Program Implementation: Indicators of Quality

Introduction

This chapter compares practices observed in districts, schools, and classrooms with practices believed to improve academic outcomes for struggling students.

Chapter 3 demonstrated that the available data are not sufficient for a solid outcome evaluation. Nevertheless, as Chapter 4 will show, the data can be used for evaluating some aspects of program implementation and processes. This chapter compares ESS program practices at the district, school, and classroom levels with ESS program practices recommended by ESS regulations and supported by education research. These practices provide a framework that can, in theory, be applied to all ESS service models. While data do not permit evaluation of ESS program effects, they indicate significant gaps between recommended practices and those observed in many districts, schools, and ESS classrooms.

The analysis presented in this chapter is based primarily on OEA site visits to 15 randomly selected districts and schools. When possible, additional data are used to indicate statewide trends.

The analysis of ESS program practices presented in this chapter is based primarily on OEA site visits to 15 randomly selected districts and schools. Documents submitted to OEA in connection with this study, SIS administrative data, OEA survey data, and KDE scholastic audit data are also used to illustrate statewide trends relevant to issues identified during site visits. Data sources are described in detail in Chapter 1.

Organization of the Chapter

This chapter is organized in sections corresponding with five recommended practices. Summaries are provided at the end of each section and at the end of the chapter.

This chapter is organized in sections corresponding with five recommended practices outlined below. Data related to each practice are described. Each section ends with a summary of data related to the recommended practice discussed. The chapter ends with a summary of all data related to recommended practices and a summary of concerns identified by the chapter.

The analysis presented in this chapter focuses on broad trends identified in site visit data. Site visit districts and schools are not identified by name in this report. Schools within districts are identified by letter. Appendix F provides more detailed descriptions of district and school practices.

Table 4.1 describes ESS program practices recommended by ESS regulations and supported by education research. In theory, these practices should be applied to all ESS program models.

Table 4.1
Recommended Practices Based on Research and Regulations

Recommended Practice 1	Incorporate ESS into district and school planning
Recommended Practice 2	Use data to target specific students and specific learning goals
Recommended Practice 3	Provide instruction relevant to learning goals; assess learning
Recommended Practice 4	Ensure student attendance
Recommended Practice 5	Evaluate program effects

Source: Staff analysis of literature and ESS regulations.

Recommended Practice 1: Incorporate ESS Into District and School Planning

Recommended Practice 1: Consolidated School Improvement Plans (CSIPs) should help schools use ESS resources to address priorities indicated by data. The impact of ESS can be increased by incorporating all available resources and strategies.

The consolidated planning process is intended to help districts and schools make strategic use of available resources, including ESS, to address priority needs as indicated by student assessment data and other quality indicators. The process should also help districts and schools to increase the impact of their ESS programs by incorporating strategies and resources provided through other funding sources into ESS programs.

ESS was not a major focus of district planning in site visit districts.

District Planning. Site visit data indicate that ESS is not a major focus of consolidated planning at the district level. OEA's analysis of CDIPs in site visit districts revealed that only 4 out of 15 districts made any mention of ESS in district plans. In most cases, ESS was mentioned in broad terms and not connected with any specific district-level strategies or goals. For example, comments included in one CDIP specified only that "the district will continue to provide extended time for targeted at-risk students utilizing best practices for migrant program, ESS and FRYSC [Family Resource and Youth Services Center]."

Most districts do not provide systematic oversight of or support for ESS programs.

In general, district personnel appear to regard ESS as a school-level program over which they have little direct influence. Eleven out of 15 district ESS coordinators reported no organized meetings or regular communication with school ESS coordinators or instructors. When asked to describe their responsibilities, most district coordinators identified administrative tasks related to data

processing or staffing. Few district coordinators reported systematic support for or oversight of the quality of ESS programs across the district. This finding may reflect, in part, the organizational structure of Kentucky districts and schools, which provides significant influence over decisions related to instruction and resource allocation to schools through site-based decision making.

Site visit data and documents submitted to OEA in connection with this study indicate that some districts make systematic attempts to ensure ESS program quality.

<table>
<tr><td>District administrators report little systematic guidance from KDE related to the role of districts in supporting ESS program quality.</td><td>

Support From KDE to Districts. Site visit interviews indicate that, as a group, district ESS coordinators receive little support or guidance from KDE related to their management of the ESS program. Several coordinators reported receiving helpful information related to ESS at KDE's Teaching and Learning Conference. Only 6 of 15 coordinators interviewed, however, had attended these sessions. As a group, district ESS coordinators reported great interest in learning more about what other districts are doing. Many expressed frustration at the lack of available information relevant to ESS. Long-time coordinators commented on the decrease of ESS-related support from KDE since regional service centers were discontinued.

KDE's lack of guidance and support relevant to district management of the ESS program is especially problematic given staff turnover at the district level. Four out of 15 district coordinators interviewed during site visits were in their first or second year in that position. One experienced district ESS coordinator commented that, if he were a new coordinator, he would be floundering.
</td></tr>
<tr><td>Most site visit schools did not show evidence of detailed planning related to ESS.</td><td>

School Planning. Site visit data also raise questions about the degree to which ESS is incorporated in planning at the school level. Only 6 out of 15 CSIPs of site visit schools included mention of the ESS program. Most mentioned ESS in global terms that did not indicate any specific actions or strategies. For example, the CSIP in School L specified only that "all staff will utilize ESS instructional time to promote and support student achievement as evidenced by ESS referrals." Two of the 15 CSIPs analyzed provided detailed descriptions of how ESS programs would be implemented.
</td></tr>
</table>

ESS school coordinators report little guidance related to ESS program quality from KDE or district administrators.	Like district ESS coordinators, school ESS coordinators emphasized administrative responsibilities such as recruiting staff and processing data over issues of program planning and quality. School coordinators reported little organized support from their districts or KDE related to the quality of ESS programs. Most school coordinators expressed great interest in learning about recommended models for ESS.

Summary of Data Related to Recommended Practice 1. Most site visit districts and schools did not take full advantage of the CDIP and CSIP process to make strategic use of ESS funds. Exceptional districts and schools described in Appendix F illustrate the possible use of ESS to promote specific academic goals.

Most site visit districts and schools did not take full advantage of the consolidated planning process to make strategic use of ESS funds.

Recommended Practice 2: Use Data To Target Specific Students and Specific Learning Goals

Recommended Practice 2: ESS regulations require schools to identify students' priority educational needs and to establish specific academic expectations to be mastered as a result of ESS.

According to 704 KAR 3:390 Section 2(2)(a) of the ESS regulations, programs are required to include methods for assessing the priority educational needs of ESS students and the academic expectations to be exhibited by students at the end of the program. Regulations do not specify the use of data to determine priority educational needs. Education research cited in Chapter 1, however, highlights the use of data to identify students' learning needs as a critical strategy used by successful schools.

All site visit schools had methods to identify students in need of assistance. In theory, all methods could be used to identify students' specific learning goals.

All site visit schools had some process in place to identify students needing supplemental instruction. Referrals in over half of site visit schools were made by students' classroom teachers based on classroom performance. This was true of all before- and after-school programs at the middle and high school levels. In contrast, assessment data were used to identify students or entire classes for ESS in all but one site visit daytime waiver program.

In theory, all referral practices observed during site visits permit identification of specific learning goals to be addressed during ESS. Most of the referral forms submitted by districts in response to OEA's document request provide some opportunity to identify student's specific learning needs.

In practice, regardless of the methods used, site visit elementary schools were more likely to identify students' specific academic needs than were site visit middle and high schools. Students at the middle and high school levels were most often referred for help in a general content area. This was true, despite the availability of standardized assessment data indicating student's specific needs.

Site visit data suggest that students' specific learning goals are more likely to be identified in elementary school ESS programs than in middle or high school ESS programs.

Summary of Data Related to Recommended Practice 2. All site visit schools had methods in place to identify students in need of supplemental academic assistance. In most cases, students were referred for help in a content area; specific academic expectations to be exhibited by students were not identified. The only evidence of identification of students' specific learning goals was at the elementary level.

Recommended Practice 3: Provide Instruction Relevant to Learning Goals; Assess Learning

Recommended Practice 3: ESS instruction should be focused on specific learning goals; student learning as a result of ESS instruction should be assessed.

According to 704 KAR 3:390 Section 2(2)(a) of the ESS regulations, instruction provided through ESS should reflect initial and ongoing assessment of students' priority needs. Regulations also specify that instruction should be designed to help students master academic expectations. During site visit interviews, school ESS coordinators and ESS instructors were asked to describe the structure, content, and instructional practices of ESS programs. In addition, instructors were asked to provide information about one randomly chosen ESS student.

Table 4.2 summarizes data related to instruction in ESS programs observed during site visits. Most of the practices described are recommended by ESS regulations. The last category, "Assignment-Based Instruction" is not explicitly recommended by ESS regulations but was observed in many schools.

Recommended instructional practices were observed in most elementary schools but few middle and high schools.

Recommended practices were observed in most elementary schools but few middle and high schools. Recommended practices were observed in both daytime waiver and after-school ESS programs at the elementary level. ESS programs at the middle and high school levels were more likely to provide students with assistance in completing assignments than they were to provide students with sustained, systematic instruction related to specific learning goals.

Table 4.2
Summary of Data Related to Instructional Practices
(Recommended Practices 2 and 3)

School	ESS Program	Level	Recommended Practice 2 Use data to identify students' specific learning goals	Recommended Practice 3 Provide instruction relevant to learning goals	Recommended Practice 3 Assess learning	Assignment-based Instruction (Not Explicitly Recommended)
A	Daytime	High				X
B	After school	High				X
C	After school	High				X
D	Daytime	Elem	X		X	
E	Daytime	Middle			X	X
F	Daytime	High				X
G	After school	Elem	X	X	X	
H	After school	Elem	X	X	X	
I	Intersession	Elem				
J	After school	Elem	X	X	X	
K	Before school	Middle		X	X	
L	Before school	High				
M	Daytime	Elem	X	X	X	
N	After school	Middle				X
O	Daytime	High				X

Note: X indicates evidence of practice described.
Source: Staff site visits, Fall 2007.

Most before- and after-school programs observed at the middle and high school levels followed a study hall model. There was little sustained instruction related to specific skills.	Most before- and after-school programs observed at the middle and high school levels followed a study hall model in which groups of 5 to 20 students completed homework assignments in the presence of a teacher. These classrooms typically included students with a variety of academic needs. Most students interacted very little with teachers. Teachers were more likely to provide help with directions than sustained instruction related to specific skills. Several instructors reported that students at these levels do not see a purpose to attendance in ESS programs beyond completing missed assignments to raise class grades. Only one before- or after-school program observed at the middle or high school level could be characterized as providing direct instruction more than homework assistance.
Daytime waiver programs in site visit middle and high schools did not focus explicitly on individual students' learning needs.	Daytime waiver programs observed at the middle and high school levels followed a variety of models. None of the models appeared to be organized explicitly to address students' specific learning needs.

Middle and high school staff believe that ESS should help prevent students from "falling through the cracks." Staff appear to need assistance at linking this goal with practices likely to increase students' mastery of academic content.

While the ESS programs observed in middle and high schools may not be promoting students' mastery of academic content, they may be helping to prevent student failure in specific classes. Several middle school staff interviewed during site visits identified the important role of ESS in keeping students from "falling through the cracks." OEA staff observed ESS middle school daytime waiver and after-school programs that did appear to provide an important social and organizational support network for students who may have been overwhelmed by the increased academic demands of middle school. Staff may need guidance, however, in designing ESS programs that provide this important social support while also providing the kind of instruction that is likely to increase students' mastery of academic content.

KDE Data Related to Instruction. SIS provides statewide data indicating that ESS programs focus more on homework assistance as students move up through the grades. ESS programs are three times as likely to be focused on homework assistance at the high school level as they are at the elementary level (see Appendix G).

Factors Related to Instructional Differences Among Elementary, Middle, and High School Programs

A number of factors help to explain instructional differences among elementary, middle, and high schools.

Site visit data indicate striking differences between the nature of ESS instruction at the elementary school level versus ESS instruction at the middle and high school levels. The following factors help to explain differences in ESS instruction among school levels:

The design of many before- and after-school programs in middle and high schools make it difficult to ensure alignment of teacher qualifications with student need.

- **Matching Teacher Qualifications With Students' Needs.** Before- and after-school programs at the middle and high school levels tend to have shifting student enrollments. Under these conditions, it is difficult to ensure that students are matched with teachers best suited to address students' academic needs. Survey data indicate that it is more difficult for middle and high schools than for elementary schools to find teachers in needed content areas for daytime waiver and summer-school programs (see Appendix H). OEA staff observed several before- and after-school programs in which students referred for help with specific subjects were matched with teachers not specifically trained in that subject.

Before- and after-school teachers in middle and high schools often have little or no advance notice of students they will be instructing. There was little evidence of collaborative planning between daytime waiver and regular teachers.	• **Planning.** Before- and after-school programs at the middle and high school levels often contain students with a variety of instructional needs. Teachers frequently have little or no advance notice of students enrolled on a given day. These conditions make planning difficult. Several instructors admitted that, as a result, planning occurs "on the fly" or "on the cuff." There was little evidence of organized planning between daytime waiver teachers and regular classroom teachers at the middle and high school levels. OEA survey data indicate that teachers are more likely to be paid for planning time at the elementary level (64 percent) than they are at the middle (53 percent) or high school (48 percent) levels.
There is little communication between ESS instructors and regular teachers at the middle and high school levels.	• **Communication About Students' Needs.** Site visit data indicate little communication between ESS instructors and regular teachers in middle and high schools. Communication between ESS instructors and regular teachers is more systematic at the elementary level.
District administrators reported that high school teachers take less individual and collective responsibility for student success than do elementary school teachers.	• **Taking Responsibility for Students.** Superintendents and district coordinators in two districts reported that high school staff are less prone than elementary school staff to take collective or individual responsibility for students' academic success.[1] High school teachers can take a "sink or swim" attitude toward student success; they expect students to take full responsibility for themselves. Due to departmental structures within high schools, high school teachers are less likely than elementary school teachers to coordinate efforts related to specific students.
Middle and high school schedules make it difficult to reach all students through daytime waiver programs.	• **Arranging Schedules.** Several middle and high school staff interviewed during site visits cited scheduling as one of the main challenges to designing effective daytime waiver programs. Students' schedules are much more complicated and fragmented at the middle and high school levels than they are at the elementary level. Therefore, it is more difficult to schedule regular contact between ESS instructors and students needing supplemental assistance.

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[1] These administrators did not speak specifically to this issue at the middle school level.

Most ESS programs observed at elementary schools provided instruction related to identified learning goals. Most ESS programs observed at middle and high schools provided assignment-based assistance.

Summary of Data Related to Recommended Practice 3. In site visit schools, most ESS programs at the elementary level provided instruction based on identified learning goals. Few ESS programs at the middle and high school levels provided instruction based on identified learning goals. Most programs at these levels provided students with assistance in completing specific assignments. Factors explaining these differences include communication among staff, program planning and design, scheduling difficulties, and more orientation of elementary than of high school teachers toward intervention and support.

Recommended Practice 4: Ensure Student Attendance

Recommended Practice 4: Education research and previous evaluations of Kentucky's ESS program highlight the importance of ensuring attendance of middle and high school students in OST programs.

Research and previous evaluations of the ESS program cited in Chapter 1 suggest that it is difficult to ensure the enrollment and attendance of middle and high school students in OST programs.[2] This difficulty was confirmed in interviews with ESS school coordinators, interviews with ESS instructors, analysis of school attendance records at site visit schools, and OEA survey data.

Site visit data confirm previous research related to student attendance.

ESS school coordinators and instructors reported lower overall attendance of students in before- and after-school programs at the middle and high school levels than of students in after-school programs at the elementary level. Student attendance is less of a problem in ESS daytime waiver programs; student attendance in these programs usually mirrors classroom attendance (see Appendix I).

School coordinators in all but one site visit middle or high school reported that no more than 50 percent of students referred to before- and after-school programs in middle and high schools actually attended.

School coordinators and instructors at elementary schools reported attendance of most or all students referred to after-school programs. In contrast, all but one of the middle and high school coordinators estimated that no more than 50 percent of students referred to before- and after-school programs actually attended. Several coordinators and instructors stated that the students who need the most help are the least likely to attend before- and after-school programs. SIS data provide some support for this concern. High school before- and after-school programs are less likely than all other ESS programs to serve students who are likely to need supplemental assistance, as indicated by economic disadvantage (see Appendix J).

Student attendance in before- and after-school programs statewide declines dramatically through the middle and upper grades.

Data Indicating Statewide Attendance Trends. Figure 4.A shows that elementary ESS students in before- and after-school programs attend at a higher rate than do middle and high school

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[2] As discussed earlier in this chapter, OEA site visit observations focused on before- and after-school programs.

students. Hours of attendance in these programs decrease steadily from elementary through middle to high school. The median number of student attendance hours in elementary after-school programs is five times as high as the median number of student attendance hours in high school after-school programs. Data presented in Figure 4.A also illustrate the greater number of attendance hours of students in daytime waiver programs versus before- and after-school programs.

Figure 4.A
Median Hours Student Attended ESS,
By Program Type and Grade Level: FY 2006
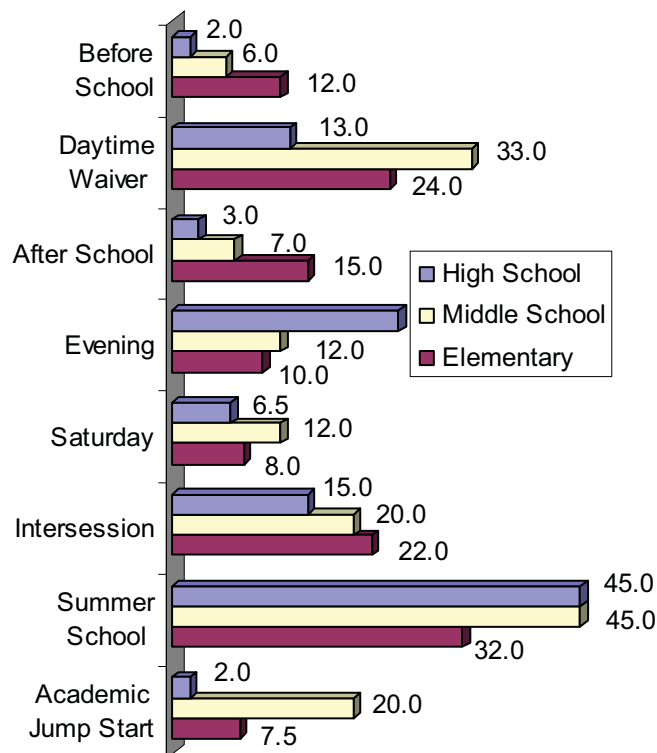
Source: Staff compilation of data from the Kentucky Department of Education.

The primary barriers to student attendance are student motivation, scheduling conflicts, and lack of transportation.

Barriers to Attendance. District leaders, school leaders, and ESS instructors interviewed during site visits identified a number of barriers to student attendance in before- and after-school programs in the middle and upper grades. The primary barriers cited during site visit interviews were lack of transportation; students' lack of motivation; and scheduling conflicts with students' extracurricular activities, jobs, and family obligations. OEA survey data confirm these barriers for after-school and summer-school programs at the state level. Students' scheduling conflicts and lack of motivation become more significant in the upper grades (see Appendix K).

<table>
<tr><td>

Most site visit schools did not make systematic attempts to ensure student attendance in before- and after-school programs.

</td><td>

Efforts To Ensure Attendance. Few site visit schools demonstrated evidence of any systematic attempts to identify and follow up with students who were referred to but not attending ESS before- and after-school programs. Few site visit schools— and none of the middle and high schools—kept records of students referred to the program. None of the ESS instructors interviewed during site visits considered parent contact to be one of their responsibilities unless ESS students were also in their regular classrooms.

</td></tr>
</table>

SIS data suggests little contact across the state between ESS program staff and students' parents or guardians.

SIS data also suggest little contact between ESS program staff and ESS students' parents or guardians. As Figure 4.B shows, more than 50 percent of parents or guardians of ESS students have never been contacted about their child's participation in ESS. There appears to be little regular contact between school staff and ESS students' parents or guardians.

Figure 4.B
Contacts Made With ESS Students' Parents/Guardians:
FY 2006
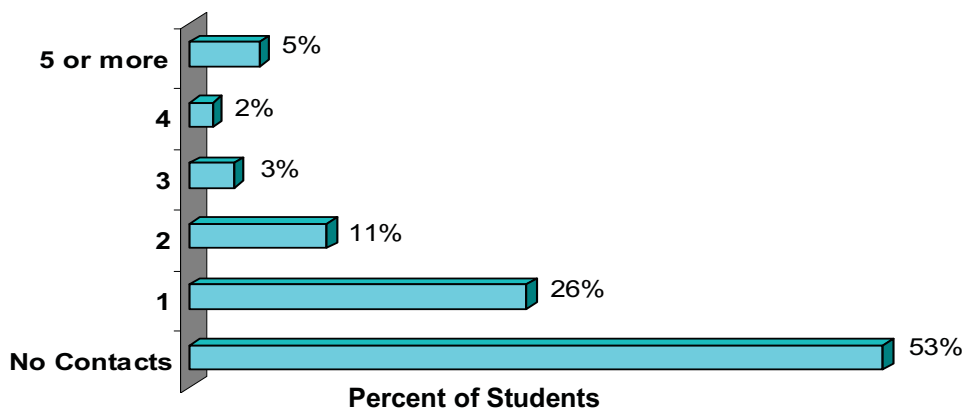
Source: Staff compilation of data from the Kentucky Department of Education.

OEA staff observed only one middle or high school that made systematic attempts to ensure attendance of students referred to ESS before- and after-school programs.

Student attendance in before- and after-school programs diminishes through the middle and upper grades. Only one site visit middle or high school made systematic attempts to ensure student attendance in these programs.

Summary of Data Related to Recommended Practice 4.
Barriers to attendance are greater in before- and after-school programs than they are in daytime waiver programs. Student motivation and scheduling conflicts are cited most frequently as factors that are "often" a barrier to student attendance in after-school programs. These barriers are greatest at the high school level. Attendance in before- and after-school programs diminishes from elementary through middle to high school. Only one site visit

middle or high school made systematic attempts to ensure attendance of students referred to ESS.

Recommended Practice 5: Evaluate Program Effects

Recommended Practice 5:
Evaluate and adjust intervention strategies using student data.

Research cited in Chapter 1 cites evaluation as an important component of school improvement. High-performing high-poverty schools use data not only to identify student needs but to monitor the effects of interventions introduced to meet those needs. School strategies are continuously adjusted based on evidence of their effects on student learning. KDE cites evaluation as a key component of the CSIP process.

The majority of district and school leaders interviewed during site visits acknowledged that they were not formally evaluating their ESS programs. Few were aware of the "PERKS" documents that is KDE's recommended evaluation tool. Most expressed interest in learning more about suggested methods of evaluation.

Review of documents from OEA's all-district request reveals little district-level evaluation of ESS programs.

District-level Evaluation. As part of this study, OEA requested that all districts statewide submit evidence of their evaluation of their ESS programs other than daytime waiver evaluations. Only 6 out of 173 districts submitted evidence of any district-level evaluations of their ESS programs. The majority of these evaluations did not analyze student outcomes or ESS program practices in comparison to expected outcomes or recommended practices. Several districts included evaluation as part of their comprehensive oversight and support of ESS programs.

Review of documents from OEA's all-district request indicate little evaluation of ESS programs at the school level other than evaluation required by KDE for daytime waiver programs.

School-level Evaluation. In response to OEA's request for documentation of school-level evaluations other than daytime waiver evaluations, only 12 districts submitted documents. Evaluations submitted rarely included all schools in a district. Schools' methods of evaluation varied widely. Methods included parent, teacher, and student surveys; classroom observations; and, in a handful of cases, evaluation of student outcome data.

Few school-level evaluations submitted to OEA indicated analysis of the effects of ESS programs on student outcomes. Student data, when reported at all, was not analyzed in relation to expected outcomes. The most common form of student outcome data reported in ESS evaluations was the data reported to KDE through SIS. No reported conclusions were drawn from analysis of SIS data. Site visit data reflect findings from the document analysis: most schools do not collect systematic data related to the quality or effects of their ESS programs.

Schools are more systematic in their evaluation of daytime waiver programs than they are of other ESS programs. All schools are required to submit evaluations of daytime waiver programs to KDE. Evaluations require reporting of student outcome data, analysis of factors explaining lack of program effects for identified students, and recommended changes. No site visit schools however reported changes to their daytime waiver programs as a result of the evaluation process.

Statewide, there is little evidence of rigorous evaluation of ESS programs at the district or school level. Administrators need guidance about recommended forms of evaluation.

Summary of Data Related to Recommended Practice 5. Site visit data and documents submitted to OEA by districts statewide provide little evidence of rigorous evaluation of ESS programs. District and school staff acknowledged technical challenges associated with evaluating ESS programs and were eager to receive guidance related to program evaluation.

KDE Scholastic Audit and Review Data

KDE scholastic audit data for low-performing schools reinforce many of the concerns identified by OEA in site visit schools.

KDE scholastic audit and review data indicate that many of the issues identified as concerns in site visit schools are also relevant to Tier 3 schools. Scholastic audits and reviews use a rating system of 1-4 to rank schools on whether they provide opportunities for struggling students to receive additional assistance. A score of 1-2 indicates little or limited opportunities for additional assistance provided to students. A score of 3-4 indicates a fully operational system of assistance or exemplary levels of opportunities for additional assistance to students. Between school years 2000-2007, 511 schools underwent scholastic audits or reviews. Of these, 76 percent were given a ranking of 1-2.[3]

Specific concerns related to the ESS program identified by KDE audits and reviews in Tier 3 schools mirror many of the concerns raised by this chapter. Concerns identified frequently in KDE audits include lack of learning goals as specified by exit criteria for the program, lack of program monitoring and evaluation, lack of collaboration among ESS and regular teachers, and lack of integration of ESS with other student support systems.

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[3] Some schools were evaluated more than once.

Table 4.3
ESS Practices in Site Visit Districts and Schools Compared to Recommended Practices:
Summary of Findings

Recommended Practices	Concerns Emerging From Site Visit Data	Evidence That Concerns May Reflect Statewide Trends
Recommended Practice 1: Incorporate ESS into district and school planning	Most districts and schools produced little evidence that ESS was aligned with all available resources to promote priority goals; notable exceptions illustrate the potentially positive impact of planning on ESS program quality.	KDE audit and review data indicate that many low-performing schools are not integrating ESS with other student support systems.
Recommended Practice 2: Use data to target specific students and specific learning goals	Most schools had methods of identifying struggling students; only elementary schools identified specific learning goals for ESS students.	KDE audit data indicate that many low-performing schools are not specifying both entry and exit criteria for ESS.
Recommended Practice 3: Provide instruction relevant to learning goals; assess learning	ESS programs in most elementary schools provided instruction targeted at specific learning goals. Few ESS programs in middle and high schools provided instruction targeted at specific learning goals. Most ESS programs at the middle and high school levels provided assignment-based assistance.	Data on the quality of instruction was not available at the state level.
Recommended Practice 4: Ensure student attendance	Barriers to student attendance were greater in before- and after-school programs than they were in daytime waiver programs. Student attendance in before- and after-school programs decreased through the middle and upper grades.	OEA survey data support site visit data. SIS data support site visit data.
Recommended Practice 5: Evaluate program effects	In all districts and schools, there was little evidence of program evaluation other than the evaluations required for daytime waiver programs. There was little evidence of program modification based on evaluation.	OEA's all-district document request support site visit data.

Sources: Staff site visits, 2007; SIS data; OEA survey data; KDE scholastic audit and review data.

Chapter Summary

Three major concerns emerge from this chapter.

ESS regulations and education research provide a broad framework of recommended practices, described above, for supplemental instruction that is likely to improve the academic outcomes of struggling students. OEA staff observed several schools—all at the

elementary level— that appear to be using ESS funds to provide this type of instruction. OEA staff observed more programs, however, that were not incorporating recommended practices.

Five specific concerns emerge from this chapter:

Most site visit districts and schools are not taking full advantage of the CSIP processes to make strategic use of ESS funds.

1) Most districts and schools are not taking full advantage of the consolidated planning process to ensure that ESS programs are aligned with schools' priority goals, that ESS programs make use of all available resources and strategies, and that ESS programs are evaluated for effects.

Data are not used to identify students' specific learning needs in ESS middle and high school classrooms.

2) Despite the widespread availability of student data at the middle and high school levels, OEA staff observed little use of data to plan ESS instruction at these levels.

There appears to be a common, default model of ESS before- and after-school programs at the middle and high school levels that provides short-term, assignment-based assistance.

3) There appears to be a common, default model of ESS before- and after-school programs at the middle and high school levels that provides short-term, assignment-based assistance. Many of the students referred to ESS do not attend these programs regularly or at all. There appears to be little organized, sustained instruction related to specific academic content. Students' mastery of specific learning goals is not always monitored. In some cases, ESS teachers are not certified in the content area relevant to the needs of referred students. There is little attempt to connect strategies used in ESS instruction with instruction in regular classes.

Daytime waiver programs at site visit middle and high schools were not designed to focus systematically on students' individual learning needs.

4) Daytime waiver programs at the middle and high school levels are not necessarily increasing attention to students' specific learning needs. They are most often increasing students' access to assignment-related assistance. In some cases, daytime waiver teachers may function more like instructional aides than they do like collaborating teachers or tutors. This finding is a concern given education research that shows little relationship between instructional aides and student achievement (Gerber et al. 123).

District and school staff need more guidance related to effective management of the ESS program.

5) At present, there appears to be little direct assistance available to school staff interested in improving the effectiveness of ESS programs. Concerns raised about ESS programs at the middle and high school levels reflect challenges associated with providing supplemental assistance at these levels. School leaders and ESS instructors interviewed during site visits acknowledged many of these challenges. They expressed dedication to the goal of assisting struggling students and interest in learning about recommended strategies or alternative models.

Chapter 5

Conclusion and Recommendations

Conclusions

Kentucky has long recognized the importance of providing supplemental assistance to students who are struggling academically. The Extended School Services program, a hallmark initiative of the Kentucky Education Reform Act, provides direct state financial assistance to districts to fund supplemental academic programs. In the past decade, shifts in state and national education policy have brought challenges as well as opportunities to districts and schools seeking to improve academic outcomes for struggling students.

Current state and federal policies focus on using assessment data to identify the learning needs of students who are struggling academically.

Since the initial implementation of the ESS program, schools and districts have come under increasing pressure to demonstrate improvements in student learning through state and federally mandated assessments. There has been an increased focus across the nation on using data to identify students' learning needs and to provide interventions to meet those needs. While ESS is the only state-funded program exclusively targeting the needs of students struggling academically, additional federal- and state-funded programs can be combined with ESS to serve these students.

Site visit data indicate that ESS programs in elementary schools are more likely to use practices believed to improve students' academic outcomes than are ESS programs in middle and high schools.

This study provides a few examples of schools that have determined the needs of their students, adapted to changes in the policy environment, and incorporated lessons from research in the design of their ESS programs. However, this study found several examples of schools that are using ESS funds in ways that are not linked to best practices for improving academic outcomes. Of the schools reviewed, elementary schools were more likely to incorporate recommended practices. Of the middle and high school programs reviewed, few incorporated practices that have been shown to increase students' mastery of academic content.

Challenges to ESS program quality at the middle and high school levels include lack of information regarding effective intervention strategies, difficulties ensuring student attendance, and difficulties matching students with qualified staff.

As described in detail in Chapters 2 and 3, data collected in connection with this study do not permit analysis of the ESS program quality across the state. However, it was generally found that middle and high schools faced greater challenges than elementary schools in providing effective ESS. These challenges include

- using data to identify students' academic deficiencies,
- implementing evidence-based intervention strategies,
- providing instruction likely to increase students' mastery of academic content,
- ensuring student attendance in programs,
- arranging services convenient to students' schedules, and
- recruiting and hiring qualified staff.

ESS data collected through the Student Information System lacks reliability and validity.

Review of the ESS program at the state level revealed additional problems. There are problems with the reliability and validity of SIS data collected in connection with the ESS program. Consequently, these data cannot be used to rigorously evaluate the program. Also, there is little technical support or suggestion of best practices offered from the Kentucky Department of Education. Site visit data indicate a lack of systematic guidance and support from KDE.

The ESS program is an important and significant financial investment in education at the state level. However, the ESS program alone is unlikely to provide all students who are struggling academically with the level of additional assistance necessary to ensure that they reach proficiency. Given the approximately 148,000 students who received ESS in all content areas in FY 2006, funds allocated to districts provided an average of $215 per participating student.

It is critical that districts and schools identify the population of students to be served by ESS and combine ESS program funds with all available resources to design comprehensive plans to meet the needs of struggling students. This requires strategic planning at the state, district, and school levels.

Recommendations

The recommendations are derived from the following sources: literature review of best practices, school district and state data, and site visit observations at select districts. The recommendations are based on concerns about ESS program quality identified in this study. Recommendations are organized in two subgroups: policy goals, regulatory requirements, and data collection; and intra-agency and cross-agency collaboration.

As Chapter 1 pointed out, ESS program staff at KDE have been radically cut over the last several years. Additional personnel

might be required to carry out the regulatory requirements and implementation of these recommendations**.**

In addition, the number of students identified as needing assistance may increase as additional assessment programs and newly developed technology systems such as KIDS and Individual Learning Plans become available. Teachers and administrators have vast amounts of data upon which students' needs can be determined.

It is recommended that a complete review of program goals and educational initiatives be undertaken simultaneously to assure that KDE can provide districts with a cohesive strategy to assist students.

Extended School Services Program: Policy Goals, Regulatory Requirements, and Data Collection

The ESS administrative regulations provide a research-based framework that can be applied to all ESS program models. However, as described in Chapter 4, site visit observations and review of district data indicate that many district and school staff are either unaware of or not complying with important regulatory elements. For example, although 704 KAR 3:390 requires identification of student learning goals, many students at the middle and high school levels are referred for help in a general content area or for help completing specific assignments. KDE audit data suggest that large numbers of low-performing schools fail to implement many important aspects of the current regulations.

Current data collection requirements place administrative burdens on staff but do not necessarily yield insights needed to design more effective programs.

The current regulation requires districts and schools to report data to KDE concerning their ESS programs and the students they serve. These data are intended to assist district and school staff in evaluating the quality of their ESS programs. As discussed in this report, SIS data is flawed due to coding inconsistencies and lack of standardized reporting requirements. District and school staff have not received guidance sufficient to ensure consistency of ESS program data; many school staff interviewed for this study acknowledged lack of clear criteria associated with their reporting of student outcomes. Current data collection requirements place administrative burdens on district and school staff but do not necessarily yield insights needed to design more effective programs.

ESS regulations require districts to request ESS funds for daytime assistance programs. Yet, education research and KDE's own experience with the ESS program indicate significant barriers to the provision of supplemental instruction outside the regular school day. These barriers include the following:

- cost of transporting students,
- ensuring attendance of students in the middle and upper grades, and
- recruiting willing and qualified staff.

As a result of the barriers noted, many schools are opting to provide ESS during the regular school day. However, site visit data and discussions with KDE staff suggest that schools do not have access to recommended program models. KDE should consider alternative delivery models that promote broader access to ESS programs, such as service provision in nontraditional education settings.

Recommendation 1

The Kentucky Department of Education should conduct a complete review of the goals and expectations of the Extended School Services program. The review should include an analysis of the alignment of the ESS regulations with current research and with other state policy initiatives relevant to intervention with struggling students.

The Kentucky Department of Education should
- review the goals and expectations of the Extended School Services program in light of current statutory requirements, Kentucky Board of Education policy initiatives requiring assistance to students not meeting educational goals, and KDE's emerging Response to Intervention Program.
- review the ESS administrative regulation to ensure that requirements tightly align with the program goals and reflect current understanding of best practices related to intervention with struggling students.
- examine and use all existing authority provided under state and federal statute to assist schools failing to meet improvement goals.
- ensure that regulation requirements do not impede the use of recommended practices. KDE should evaluate the effectiveness of the daytime programs. If KDE finds that daytime programs are effective, KDE should eliminate the need for a waiver request. In addition, KDE should consider all delivery models that promote accessibility to ESS.
- leverage existing and emerging systems and capabilities, such as the Kentucky Instructional Data System, Individual Learning Plans, the proposed Knowledge Management Portal, and Kentucky Student Information System to design better intervention programs, track and evaluate student performance, and monitor program effectiveness.

Recommendation 2

The Kentucky Department of Education should review required data collections to ensure that they are collected for a specific purpose and are useful for state and/or local evaluation of the Extended School Services program.

The Kentucky Department of Education should include in its review an analysis of all required data collections and the processes related to those collections. Any data required to be submitted should be aligned with recognized best practices, collected for a specific purpose, and useful for state and/or local evaluation of Extended School Services programs.

Recommendation 3

The Kentucky Department of Education should provide districts with the guidance necessary to ensure proper reporting of data and use of data for program evaluation.

The Kentucky Department of Education should provide districts with comprehensive training and guidance related to required data and how such data can be used to evaluate districts' Extended School Services programs. KDE should develop descriptive technical materials to support the collection of any ESS data determined to be necessary based upon the review conducted in Recommendation 2. These materials should be made available in an easily accessible format to districts.

Recommendation 4

The Kentucky Department of Education should provide districts with guidance on the use of data to place students in appropriate intervention programs.

The Kentucky Department of Education should provide districts with guidance and training on the interpretation and use of data collected from all annual and interim assessments. Districts should be provided with information on how the results of the various assessments can be used to identify individual student needs and to place students in appropriate intervention programs, including Extended School Services. KDE and the Council on Postsecondary Education should work together to ensure that the intervention strategies used for students as a result of Educational Planning and Assessment System scores are effective at increasing student readiness for college.

Intra-Agency and Cross-Agency Collaboration

The guidance and support necessary to improve the quality of ESS programs is unlikely to come from the ESS program as it is currently structured at KDE. Only one full-time KDE staff position is devoted to the ESS program. Improvement of ESS will require mobilization of many resources, including those associated with the consolidated planning process; Educational Planning and Assessment System initiatives; the Read to Achieve Fund; the Mathematics Intervention Fund; the Dropout Prevention Fund; and other intervention programs at KDE, CPE, and the Education Professional Standards Board.

In addition, KDE staff across several divisions are currently developing "systems of intervention" aimed at helping districts and schools develop comprehensive frameworks for effective intervention. According to KDE staff, these frameworks will use strategies associated with the "response to intervention" approach being promoted by the federal government and national groups including the Council for Chief State School Officers. Response to intervention strategies focus on aligning all available school resources and student support systems to provide systematic intervention for academically struggling students during the regular school day. KDE plans to promote this framework through the Instructional Support Network meetings and newsletters, regional educational cooperative meetings, and other relevant conferences throughout the state (Boyles).

Education research provides more guidance related to assisting struggling students in the early grades than it does to assisting students in the middle and upper grades. Education researchers are beginning to focus more on the needs of students in the middle and upper grades, but knowledge related to building effective middle and high school intervention programs remains limited at this time.

It is important that research-based strategies be accessible to districts and schools as they become available. For example, KDE's proposed initiative related to adolescent literacy should include recommendations for the use of ESS funds to support practices believed to improve outcomes for struggling adolescent readers.

The Kentucky Department of Education, Education Professional Standards Board, and Council on Postsecondary Education can play an important role in identifying promising practices that appear to improve student learning and making these practices systematically available to teachers, administrators, and others across the state.

Recommendation 5

The Kentucky Department of Education's educational intervention and support initiatives should be coordinated within the department and made available to districts in an easily accessible manner.

The Kentucky Department of Education's educational intervention and support initiatives should be coordinated within the department so that program support is provided in a consolidated effort. Full agency collaboration is necessary so that districts receive a comprehensive range of research-based strategies and program assistance, from a single source. All documents, sources, data, and information should be provided in an easily accessible manner, especially in newly emerging systems such as the Student

Information System, Knowledge Management Portal and Kentucky Instructional Data System.

Recommendation 6

The Kentucky Department of Education should promote awareness among staff of all educational assistance programs, including Extended School Services.

The Kentucky Department of Education should promote awareness among staff of all educational assistance programs, including Extended School Services. KDE should require training of program support teams on all available funds and educational resources. Programs such as Highly Skilled Educators, Voluntary Partnership Assistance Teams, Scholastic Audit Teams and other assistance teams should be well versed in the array of educational support programs available to districts.

Recommendation 7

The Kentucky Department of Education, Education Professional Standards Board and Council on Postsecondary Education should collaborate in order to provide teachers, administrators, and Extended School Services instructors access to research-based strategies as these strategies become available.

The Kentucky Department of Education, Education Professional Standards Board, and Council on Postsecondary Education should collaborate in order to provide teachers, administrators, and Extended School Services instructors access to research-based strategies as they become available. These strategies can be taken from published research as well as research conducted by KDE, EPSB or CPE in Kentucky districts and schools. Research-based strategies should include additional intervention assistance to students not reaching learning goals as determined by all available data, including Commonwealth Accountability Testing System, Educational Planning Assessment System, and other forms of assessment.

Recommendation 8

The Kentucky Department of Education, Education Professional Standards Board, and Council on Postsecondary Education should collaborate to ensure that preparation and professional development programs of teachers and administrators include training on effective intervention strategies.

The Kentucky Department of Education, Education Professional Standards Board and Council on Postsecondary Education should collaborate to ensure that preparation and professional development programs of teachers and administrators include training on effective and sound intervention strategies. These strategies should include measures to promote increased educational attainment at the postsecondary level, as required by the Education Planning Assessment System initiative.

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Appendix A

Site Visit Districts and Schools

Methodology for Selection of 15 Random School Districts

A random number table was used to select sample districts. An ordered sequence was used to assign each district a school level to be identified for site visits. Particular schools were chosen based on availability of particular Extended School Services program models for observation.

Barren County
Berea Independent
Carter County
Crittenden County
Edmonson County
Henry County
Jackson Independent
Ludlow Independent
Martin County
Metcalfe County
Muhlenberg County
Owen County
Powell County
Science Hill Independent
Silver Grove Independent

Appendix B

Site Visit and Survey Questions

Site Visit Structured Interview Protocols
Superintendent and District ESS Coordinator Version

Your district is one of fifteen randomly selected districts identified for site visits as part of the Office of Educational Accountability's report on the ESS program. This is not an audit. We are not evaluating the quality of your ESS program. The purpose of this visit is to help us understand the different approaches being used in districts and schools across the state to provide ESS to students. We hope these visits will also help us to understand the issues that districts and schools face when designing and implementing ESS programs in conjunction with other programs targeted at students experiencing academic difficulty.

Checklist for documents to collect from district:
- Profiles of individual schools' ESS Programs _____
- Any other documents relevant to understanding the district's ESS programs

The following questions are intended for the superintendent; the district coordinator may also comment.

1.1. What would you say are the most critical areas of academic need for students in your district? Is the ESS program linked specifically to those needs?
      Probe: specific grades, schools, content areas; sources of evidence for those needs

1.2. What strategies, in addition to ESS, does the district have in place to assist students who are struggling academically?

1.3. What state, federal or other funding sources do you use to support these strategies?

1.4a. Does the district have any plans to provide remediation for students who do not meet benchmarks on the ACT and to provide accelerated learning opportunities for students with low scores on EXPLORE and PLAN? What role, if any, will ESS play in these plans?

1.4b. Are you aware of whether any schools are using the Individualized Learning Plans to monitor progress or plan learning for students?

1.5. What state, federal or other funding sources will you use to support the strategies you described?

1.6. Does the district support ESS activities with funding from other sources?

1.7. How do you allocate ESS funds among schools in your district?

1.8. What do you see as the strengths of the district's ESS programs as they are currently implemented?

1.9. Are there any improvements you would like to see in the current programs?

The following questions are intended for the district coordinator; superintendent may also comment.

2.1. Describe your role as the district ESS coordinator. How long have you been the ESS coordinator? What other positions do you hold in the district for which you receive compensation?

2.2. What resources are most useful to you in supporting ESS programs (e.g. instructional materials, curricula, software, best practice frameworks, state guideline)?

2.3. Have you participated in any professional development relevant to your work as the ESS coordinator? If so, please describe (years, duration, content area, format, provider). Was it helpful? Why or why not?

2.4. Does the district provide any professional development specifically for ESS school coordinators and/or instructors? Does the district hold meetings for ESS coordinators and/or instructors? If so, how often?

2.5. What do you look for in an effective ESS program?
      Probe: particular observation guide or protocol

2.6. Are there any programs that you feel are working particularly well? Why?
      Probe for evidence: observation; student data; staff reporting

2.7. Are there any programs that you feel could be working better? Why?
      Probe for evidence: observation; student data; staff reporting

2.8. Do you evaluate the ESS programs in individual schools?
      If so, how do you conduct the evaluations? How are the evaluations used (internal reviews only or passed on to the state)?
      If you do not evaluate the programs at individual schools, do you assist school coordinators to evaluate their ESS programs?

2.9. Are there any groups of students that are difficult to reach with ESS?

2.10. Other than reaching the intended student population, what would you say are the most significant barriers to implementing an effective ESS program?

Site Visit Structured Interview Protocols
Principal, School ESS Coordinator, and Instructor Version

Your district is one of fifteen randomly selected districts identified for site visits as part of the Office of Educational Accountability's report on the ESS program. This is not an audit. We are not evaluating the quality of your ESS program. The purpose of this visit is to help us understand the different approaches being used in districts and schools across the state to provide ESS to students. We hope these visits will also help us to understand the issues that districts and schools face when designing and implementing ESS programs in conjunction with other programs targeted at students experiencing academic difficulty.

Checklist for documents to collect at school based on last year's data

- *List of students referred to ESS* _____
- *List of students attending ESS* _____
- *Attendance records for students* _____
- *Attendance records for staff* _____
- *Student Referral Form* _____
- *Parent Notification Letter* _____
- *Individual student paperwork that includes specific academic goals, formal/informal assessments, parent communication* _____
- *Evaluation of ESS program* _____

The following questions concern ESS as it relates to students' academic needs at the school level. We are also interested in whether ESS are combined with other programs designed to provide support for students who are struggling academically.

These questions may be answered by the principal and/or ESS coordinator.

3.1. What would you say are the most critical areas of academic need for students in your school? *Probe for specific grades & content areas; sources of evidence for those needs.*

3.2. Does the school have any strategies in place, in addition to ESS, to assist students who are struggling academically? Programs might include those that address nonacademic factors that affect student learning. i.e. drug use, social or behavioral issues; family issues

3.3. What state, federal or other funding sources does the school use to support the strategies you have described?

High school only: 3.4. Does the school have any plans to provide remediation for students who do not meet benchmarks on the ACT and to provide accelerated learning opportunities for students with low scores on EXPLORE and PLAN? What role, if any, will ESS play in these plans?

High school only: 3.5. What state, federal or other funding sources will the school use to support these plans?

3.6. Are there any school programs that combine funding from ESS and other sources?

3.7. What criteria do you use to identify ESS teachers?

3.8. Have you had any difficulty recruiting qualified ESS teachers? If so, please explain.

3.9. What strategies do you use to overcome difficulties in recruiting qualified ESS teachers?

The following questions are intended for the school ESS coordinator.

4.1. For how many years have you been an ESS coordinator?

4.2. What other positions do you hold in the school for which you receive compensation?

4.3. Can you give us an overview of your ESS program? *Probe for:*
   - *Scheduling. Get specific times. If students are missing class, determine which class for every student on roster.*
   - *Subjects*
   - *Class or group size*
   - ***Instructors** In high school and middle school, determine whether there is a match between student need and teacher qualification*
   - *physical location*
   - *instructional grouping (individual needs teacher/tutor; small group with similar needs teacher/tutors; individual instruction using technology)*
   - *instructional materials - get names of specific software or other purchased programs*

4.4. How do ESS teachers communicate with regular classroom teachers about students' ongoing academic needs?
        Probe: specific times or modes (email, assignments, forms)

4.5a. What criteria are used to refer students to ESS?

4.5b **(middle and high)** Are students' Individualized Learning Plans useful in identifying students or designing instruction for ESS?   *(Refer to list of referred students.)*

4.6. Of the students who were referred, how many are receiving ESS?

4.7. Have you had any difficulty reaching eligible students? If so, please explain.
        Probe: efforts to contact parents, transportation, motivation, appropriate staffing

4.8.   How do teachers keep track of student progress?
         Note formal or informal. If formal, get name of program or assessment.

4.9.   What exit criteria do you use to remove students from ESS?

4.10. Who teaches ESS in your school? How long have they been teaching ESS?
         *Note: for every volunteer tutor or noncertified staff, determine what kind of training they
         received and how they coordinate instruction with the certified teacher.*

4.11. What criteria do you use to identify teachers for ESS?

4.12. Have you had any difficulty recruiting qualified ESS teachers? If so, please explain.

4.13. What strategies do you use to overcome difficulties in recruiting qualified ESS teachers?

4.14. Do ESS teachers communicate with ESS students' parents? If so, how?
         Get copies of any record of communication.

4.15. Are there any resources that have been especially helpful to you in designing the ESS
         program?

4.16. Have you or the ESS teachers participated in any professional development related
         specifically to ESS? If so, please describe (years, duration, content area, format, provider).
         Did you find it helpful?

4.17. Have you received any support from the district office to help with the design and
         implementation of your ESS program?

4.18. What evidence do you have that the ESS program is improving student outcomes?

4.19a. Do you use any evaluation protocols? (i.e. PERKS, district guidelines)

4.19b   What would you say are the strengths and the weaknesses or your ESS program?

4.20. Are there any changes you would like to see to the ESS program in this school?

4.21. What are the main challenges to providing academic assistance to students identified for
         ESS? *Probe: staffing, transportation, student motivation/behavior issues, instructional
         material. Note: if they have more than one type of ESS program, determine which
         programs experience these challenges*

4.22. Would you recommend any changes to the requirements for reporting ESS student
         information in STI?

Questions for ESS Instructor

*Note: The following questions should be asked about a specific child on the teacher's attendance roster of ESS students. If there are **1-5 students**, choose the **third** student. If there are **5-10 students**, choose the **eighth** student. If there are **10-15 students**, choose the **13th** student, etc. The interview needs to take place in proximity to the teachers' records and instructional materials.*

For Middle and High Schools: Determine whether the ESS teacher is instructing students with a variety of academic needs or students with similar needs (you may or may not already have this information depending on whether you have met with the school coordinator). If the teacher is instructing any students outside their content area, make sure you begin with such a student. Begin at the bottom of their roster and choose the first out of content student. If there is time, choose an additional student--the first student in the teacher's content area.

If the sampled student is in a class to complete homework or a test and is not receiving instruction, choose the next student on the roster who is receiving sustained instruction.

I'd like to focus on one student from your ESS roster. I will be asking questions related to this student. Feel free to add comments about other students in cases when comments are important to help us understand your instructional program in general.
(*Look at roster and tell the teacher which student you are picking).*

It would be helpful to have the following materials with us during the interview:
- formal or informal (including observation notes) assessments for all ESS students taught by interviewed instructor
- instructional materials/ completed work for sampled student
- records of communication with teachers and parents for sampled student
- lesson plans
- student's ESS schedule and attendance records

5.1.   Why is this student in ESS?

5.2.   How many ESS classes has this student attended this year? If the student has had poor attendance, please identify possible causes. *Estimate hours_____*

5.3.   Are you concentrating instruction for this student on any specific skills?
         Probe: where do they get this information? e.g. classroom teacher, diagnostic assessments, classroom observation.
         Note: for questions 1 and 3, do not ask for referral sheet until after they are done answering.

5.4.   Describe the instruction this student has received in the last week. *Probe for:*
                 specific skill
                 instructional materials
                 instructional format (small group, individual, whole class, cooperative)
                 teacher assessment of student understanding

Ask to see examples of instructional materials and work, if available. If they are using a computer program, ask to see a typical lesson. Determine whether there is instruction in program i.e., is the program interactive, providing multiple examples and modes of explaining materials with practice questions, or just text and examples?

5.5.   Is this type of instruction typical for this student? If not, please describe the range of instructional practices you use with this student.

5.6.   If the range of instructional practices you use with other students is different from those used with this student, please describe.

5.7.   Is this student making progress? How do you know? Do you keep any formal or informal records of this student's progress in this class?
       Ask to see the records. Make a note of how many entries there are. Look closely at records for this student. Ask whether the teacher has records for all the students. Make a note of how many ESS students have documentation of ongoing progress.
       Record the number of entries for sampled student_____
       Record the fraction of students with records of ongoing progress_____

5.8.   Do you keep track of this student's progress in his/her regular class? If so, how? Do you use similar methods for all the students in the class?

5.9.   Are this student's parents aware of what this student is doing in ESS? Are they providing any additional support at home? What about the rest of the class?
       Have you made any efforts to contact this student's parent (s). If so, when?

5.10. Do you feel that this student is receiving sufficient academic support? If not, what other types of support do they need? What about the rest of the class?

5.11. Are there any nonacademic barriers to this student's learning? If so, please describe. Are they receiving any other kinds of support from the school relevant to these needs? What about the rest of the class?

5.12. How much planning time is included in your ESS salary?

5.13. Have you received any professional development (any P.D.; not just ESS-specific) or administrative support that was helpful to you in designing and providing instruction for your ESS students? Are there any other kinds of support you need to provide high quality instruction for your students?

5.14. What changes, if any, would you recommend to the ESS program in this school?

Internet Survey of Districts

1. KDE distributes ESS funds to districts using the following formula: Half of the allocation is based on ADA. The other half is based on free and reduced lunch enrollment, the CATS index, and the dropout rate, each counting as 1/6 of the allocation. Do you agree with this method of distributing ESS funds? If no, please explain.

2. ESS programs have several goals. Overall, how effective are your district's ESS programs at attaining each of the following goals? (Not Effective, Somewhat Effective, Very Effective)

    Enhancing the performance of students struggling in one or more content areas

    Reducing the retention rate

    Reducing the dropout rate

    Closing achievement gaps by helping low-performing students reach performance levels appropriate to their age ranges

3. In 2006-07, was it mandatory for referred students to attend ESS? If yes, please describe policy.

4. In 2006-07, what was the board-approved hourly rate for ESS instructors?

5. In 2006-07, how much was the annual extra duty pay for coordinators?

6. In 2006-07, were ESS instructors compensated for planning time? If yes, please describe how.

7.a. In 2006-07 how many hours, if any, of professional development directly related to the ESS program was provided to the district ESS coordinator? (If zero, skip to question 8.)

7.b. Who provided this PD to the district ESS coordinator?

7.c. Overall, how effective was this professional development in providing skills for ensuring that ESS programs meet students' needs? (Not Effective, Somewhat Effective, Very Effective)

8. Please describe how district ESS funds were distributed to your schools (after any movement among Flex Focus funds) for 2006-07. *(Please describe any formula and criteria used such as ADA, CATS scores, Free/Reduced Lunch, etc.)*

9. Does your district encourage schools to blend ESS with 21st Century, Title I, FRYSC, or other programs that serve similar types of students? (By blending we mean the sharing of resources or staff to further the academic mission of ESS.)

10. In 2006-07, <u>approximately</u> how much was spent in total, district-wide, to supplement ESS, but coded to other grants/programs in MUNIS?

21st Century	$
FRYSC	$
Math Initiative	$
Reading First	$
Read to Achieve	$
Safe Schools state funding	$
Title I	$
Title II Teacher Quality	$
Other	$

11. Districts have various types of resources. For each item below, check the box if you have it and then rate how helpful it is for your ESS programs. If you don't have it, please rate how helpful you think it would be.

   A guide on best practices for ESS

   Example forms, letters, and other administrative documents you can adapt for your ESS program

   Recommended software for diagnostic assessments

   Recommended software and other materials for ESS instruction

   Recommended software for credit recovery

   Professional development relating to the management of ESS students' behavioral, attitudinal, and family issues

   Professional development on specific instructional strategies to help struggling students

   Professional development relating to the implementation and administration of effective ESS programs

   Training on how to evaluate the effectiveness of ESS

12. What suggestions can you offer that would allow your district to better serve the needs of struggling students? *(Feel free to make additional comments here if you wish.)*

Internet Survey of Schools

After School ESS in 2006-07

1. In 2006-07, did your ESS program provide services after school? (If no, please skip to question 6.)

2. In 2006-07, did the following barriers prevent referred students from attending after school ESS programs? (Rarely/Never, Sometimes, Often)

>   Transportation
>
>   Stigma
>
>   Lack of Student Interest/Motivation
>
>   Job/Extracurricular Activities
>
>   Parents Don't Want Student in ESS
>
>   Other

3. Of the total students referred for your after school ESS in 2006-07, approximately what % of these students never attended?

4. Did you encounter the following barriers in staffing ESS positions for your after school services? (Rarely/Never, Sometimes, Often)

>   Pay Too Low
>
>   Staff Too Busy
>
>   Lack of staff with needed qualifications
>
>   Other

5. ESS programs have several goals. Overall, how effective is your after school ESS program at attaining each of the following goals? (Not Effective, Somewhat Effective, Very Effective)

>   Enhancing the performance of students struggling in one or more content areas
>
>   Reducing the retention rate
>
>   Reducing the dropout rate
>
>   Closing achievement gaps by helping low-performing students reach performance levels appropriate to their age ranges

Daytime Waiver ESS in 2006-07

6. In 2006-07, did your ESS program have services during the school day? (If no, please skip to question 11.)

7. Did the following barriers prevent referred students from attending the Daytime program? (Rarely/Never, Sometimes, Often)

>   Transportation

Stigma

Lack of Student Interest/Motivation

Job/Extracurricular Activities

Parents Don't Want Student in ESS

Other

8. Of all students referred for your Daytime Waiver ESS in 2006-07, <u>approximately</u> what % of these students <u>never attended</u>?

9. Did you encounter the following barriers in staffing Daytime ESS positions? (Rarely/Never, Sometimes, Often)

Pay Too Low

Staff Too Busy

Lack of staff with needed qualifications

Other

10. Overall, how effective is your after Daytime ESS program at attaining each of the following goals? (Not Effective, Somewhat Effective, Very Effective)

Enhancing the performance of students struggling in one or more content areas

Reducing the retention rate

Reducing the dropout rate

Closing achievement gaps by helping low-performing students reach performance levels appropriate to their age ranges

Summer School ESS in 2006-07

11. In 2006-07, did your school offer summer school ESS? (If no, please skip to question 16.)

12. Did the following barriers prevent referred students from attending the summer school ESS program? (Rarely/Never, Sometimes, Often)

Transportation

Stigma

Lack of Student Interest/Motivation

Job/Extracurricular Activities

Parents Don't Want Student in ESS

Other

13. Of all students referred for your summer school ESS in 2006-07, <u>approximately</u> what % of these students <u>never attended</u>?

14. Did you encounter the following barriers in staffing summer school ESS positions? (Rarely/Never, Sometimes, Often)

Pay Too Low

Staff Too Busy

Lack of staff with needed qualifications

Other

15. Overall, how effective is your summer school ESS program at attaining each of the following goals? (Not Effective, Somewhat Effective, Very Effective)

Enhancing the performance of students struggling in one or more content areas

Reducing the retention rate

Reducing the dropout rate

Closing achievement gaps by helping low-performing students reach performance levels appropriate to their age ranges

16. In 2006-07, did any students participate in ESS for **credit recovery** <u>without</u> using KVHS (Kentucky Virtual High School)"? (If yes, please describe the software students used instead of KVHS.)

17. In 2006-07, was it mandatory for referred students to attend ESS? If yes, please describe policy.

18. In 2006-07, did peer tutors and/or parent volunteers provide ESS?

19. In 2006-07, were ESS instructors compensated for planning time? If Yes, please describe how.

20.a. In 2006-07 how many hours, if any, of professional development directly related to the ESS program and targeted students were provided to your typical ESS instructor?
(If none, enter zero and skip to question 21.a.)

20.b. Who provided this ESS PD to instructors?

20.c. Overall, how effective was this professional development in providing ESS instructors with skills to meet students' needs? (Not Effective, Somewhat Effective, Very Effective)

21.a. In 2006-07 how many hours, if any, of professional development directly related to the ESS program and targeted students were provided to the school ESS coordinator?
(If none, enter zero and skip to question 22.a.)

21.b. Who provided this ESS PD to the school ESS coordinator?

21.c. Overall, how effective was this professional development in providing the school ESS coordinator with skills to ensure that your ESS program meets students' needs? (Not Effective, Somewhat Effective, Very Effective)

22.a. Do you blend ESS with 21st Century, Title I, FRYSC, or other programs that serve similar types of students? (By blending we mean the sharing of resources or staff to further the academic mission of ESS.) (If No, skip to question 23.)

22.b. What programs do you blend with ESS and how is the blending occurring?

23. Schools have various types of resources. For each item below, check the box if you have it and then rate how helpful it is for your ESS programs. If you don't have it, please rate how helpful you think it would be. (Not Helpful, Somewhat Helpful, Very Helpful)

   A guide on best practices for ESS

   Example forms, letters, and other administrative documents you can adapt for your ESS program

   Recommended software for diagnostic assessments

   Recommended software and other materials for ESS instruction

   Recommended software for credit recovery

   Professional development relating to the management of ESS students' behavioral, attitudinal, and family issues

   Professional development on specific instructional strategies to help struggling students

   Professional development relating to the implementation and administration of effective ESS programs

   Training on how to evaluate the effectiveness of ESS

24. What suggestions can you offer that would allow your school to better serve the needs of struggling students? *(Feel free to make additional comments here if you wish.)*

Appendix C

Statute and Regulation Governing Extended School Services

KRS 158.070 Relevant to ESS

(8) Schools shall provide continuing education for those students who are determined to need additional time to achieve the outcomes defined in KRS 158.6451, and schools shall not be limited to the minimum school term in providing this education. Continuing education time may include extended days, extended weeks, or extended years. A local board of education may adopt a policy requiring its students to participate in continuing education. The local policy shall set out the conditions under which attendance will be required and any exceptions which are provided. The Kentucky Board of Education shall promulgate administrative regulations establishing criteria for the allotment of grants to local school districts and shall include criteria by which the commissioner of education may approve a district's request for a waiver to use an alternative service delivery option, including providing services during the school day on a limited basis. These grants shall be allotted to school districts to provide instructional programs for pupils who are identified as needing additional time to achieve the outcomes defined in KRS 158.6451. A school district that has a school operating a model early reading program under KRS 158.792 may use a portion of its grant money as part of the matching funds to provide individualized or small group reading instruction to qualified students outside of the regular classroom during the school day. (9) Notwithstanding any other statute, each school term shall include no less than the equivalent of the minimum number of instructional days required by this section. (10) Notwithstanding the provisions of KRS 158.060(3) and the provisions of subsection (1) of this section, a school district shall arrange bus schedules so that all buses arrive in sufficient time to provide breakfast prior to the instructional day. In the event of an unforeseen bus delay, the administrator of a school that participates in the Federal School Breakfast Program may authorize up to fifteen (15) minutes of the six (6) hour instructional day if necessary to provide the opportunity for children to eat breakfast not to exceed eight (8) times during the school year within a school building. (11) Notwithstanding any other statute to the contrary, the following provisions shall apply to a school district that misses school days due to emergencies, including weather-related emergencies:

(a) A certified school employee shall be considered to have fulfilled the minimum one hundred eighty-five (185) day contract with a school district under KRS 157.350 and shall be given credit for the purpose of calculating service credit for retirement under KRS 161.500 for certified school personnel if:

1. State and local requirements under this section are met regarding the equivalent of the number and length of instructional days, professional development days, holidays, and days for planning activities without the presence of pupils; and

2. The provisions of the district's school calendar to make up school days missed due to any emergency, as approved by the Kentucky Department of Education, including but not limited to a provision for additional instructional time per day, are met.

(b) Additional time worked by a classified school employee shall be considered as equivalent time to be applied toward the employee's contract and calculation of service credit for classified employees under KRS 78.615 if:

1. The employee works for a school district with a school calendar approved by the Kentucky Department of Education that contains a provision that additional instructional time per day shall be used to make up full days missed due to an emergency;

2. The employee's contract requires a minimum six (6) hour work day; and

3. The employee's job responsibilities and work day are extended when the instructional time is extended for the purposes of making up time.

(c) Classified employees who are regularly scheduled to work less than six (6) hours per day and who do not have additional work responsibilities as a result of lengthened instructional days shall be excluded from the provisions of this subsection. These employees may be assigned additional work responsibilities to make up service credit under KRS 78.615 that would be lost due to lengthened instructional days.

Regulation

704 KAR 3:390. Extended school services.

RELATES TO: KRS 158.070
STATUTORY AUTHORITY: KRS 156.070, 158.070
NECESSITY, FUNCTION, AND CONFORMITY: KRS 158.070(8) requires schools to provide continuing education beyond the minimum school term for students in need of extended services and requires the Kentucky Board of Education to promulgate administrative regulations establishing criteria for the allotment of grants to local school districts to provide these services. KRS 158.070(8) also requires the Kentucky Board of Education to establish criteria for waivers by which programs may be scheduled on a limited basis during the regular school day. This administrative regulation established requirements for extended school services, regardless of when during the school day or calendar they are delivered.

Section 1. Definitions. (1) "Extended school services" or "ESS" means instructional and support services provided:

(a) By school districts for students who need additional time to achieve academic expectations in 703 KAR 4:060; and

(b) at times separate from the regular school day, regular school week, or the minimum school term unless a district's request for a waiver meets the criteria established in Section 7 of this administrative regulation and has been approved by the Commissioner of Education.

(2) "Support services" means noninstructional components of a program that:

(a) Are provided to enable the student to realize the benefits of the instructional program; and

(b) may include transportation, instructional materials or supplies, student snacks, school-based counseling, parent training for follow through, or referrals for social, health or financial assistance through appropriate service agencies.

Section 2. Instructional Program. (1) The major emphases of extended school services shall be:

(a) To enhance the present level of performance of students who are having difficulty in one (1) or more content areas;

(b) To provide extended programming for students who have been retained or who are at risk of being retained in a class or grade or of failing to graduate on time or dropping out without additional assistance; and

(c) To close the achievement gap of low-performing students so that the students will perform successfully in the instructional program appropriate to their age ranges.

(2) The instructional program for extended school services shall include:

(a) A method to assess the priority educational needs of each individual student and to determine the academic expectations to be exhibited by the student at the end of the program;

(b) An appropriate educational program designed for the individual student which assists the student in mastering the academic expectations within the timelines specified by the program;

(c) An ongoing method of informal and formal assessment to document the student's progress toward mastery of the academic expectations;

(d) A schedule of services which shall be of the duration and regularity necessary to allow mastery of the academic expectations within a reasonable and projected timeline;

(e) Teaching techniques that provide support and continuity relative to the regular school program; and

(f) Varied instructional approaches which may include:

1. Tutorial instruction;

2. A modified approach to reteaching to ensure needs of the individual students are met;

3. Diagnostic or prescriptive services;

4. Computer-assisted instruction; or

5. Counseling if needed to assist the student in overcoming social or behavioral problems which interfere with the student's academic success.

(3) The instructional program may utilize a variety of scheduling models including:

(a) Extended day programs which are scheduled any time outside of the regular school day and which may include a night program;

(b) Saturday programs which operate for a full or half day over a specified period of time;

(c) Summer programs which operate a full or half day during the months of June, July or August;

(d) Flexible school calendars which allow eligible students to attend school for a longer period of time than other students; or

(e) Programs operated during the regular school day as approved by the Commissioner of Education and that meet the criteria provided in Section 7 of this administrative regulation.

(4) Extended school services programs shall not replace or substitute for the instructional time of the regular program, but shall provide additional instructional time in a targeted content area and specific area of need.

(5) Certified staff shall provide instruction or regularly supervise a noncertified tutor including a peer tutor.

(6) Teachers providing instruction in extended school programs which are offered for academic credit for purposes of promotion or graduation shall meet the same professional qualifications as teachers who are employed in the regular school program.

(7) Extended school services shall be provided to eligible students who are in the first year of the primary school program through the twelfth grade. Students shall be eligible to receive these services until they graduate from the twelfth grade or become twenty one (21) years of age, whichever comes first.

Section 3. Student Selection. Selection of pupils to receive extended school services shall be as follows:

(1) Each school district shall select pupils as described in Section 2(1) of this administrative regulation who need additional instructional time to attain academic expectations. A student shall not be selected or assigned to receive extended school services for disciplinary purposes or for any kind of in-school suspension.

(2)(a) Within its scope of authority, a local board of education or school council may mandate the participation of eligible students to extended school services through the adoption of a written policy which shall describe all conditions under which attendance will be required and shall provide a description of any exceptions permissible under the policy.

(b) Conditions for attendance may include:

1. The characteristics of the students who will be required to attend;

2. A description of the criteria by which they may exit the extended school program or may no longer be required to attend;

3. The conditions under which a targeted student may be excused from attendance; or

4. The arrangements for transporting the students mandated to attend.

(c) The local school board shall provide notice of the policy in the district's annual extended school services program report which is submitted at the same time as the district's comprehensive school improvement plan.

(3) In assessing a student's need for extended school services, the schools shall consider the student's performance in:

(a) Academic skill areas for a single subject or single class, application of those skills to everyday life situations, and integration of skills and experiences to acquire new information;

(b) School attendance if it negatively affects academic performance;

(c) Patterns of promotion or retention;

(d) Physical and mental readiness for learning; and

(e) If applicable, readiness for transition to work, postsecondary education or the military.

(4) The following methods of documentation shall be used to verify which students shall be determined eligible and in greatest need of extended school services:

(a) Teacher recommendation based upon classroom observation and anecdotal records or parent recommendation;

(b) Academic performance based upon analysis of student work and formal and informal measurements of progress; or

(c) Behavioral and developmental progress as documented in formal and informal assessments and reports.

(5) Local school boards shall approve and disseminate procedures whereby pupils who have a greater need as determined by the eligibility criteria shall be referred and selected first to receive extended school services. These procedures shall not exclude students who have greater academic need from referral or selection for extended school services due to the inability of the parent or student to provide transportation.

(6) Schools shall inform parents and guardians of extended school services which will be offered in the school setting including:

(a) A general notification which describes the nature of the services to be offered including the opportunities for maintenance of performance, prevention of failure and reduction of academic deficiencies;

(b) A specific notification to parents or guardians of their child's eligibility to receive or assignment to extended school services. A school shall maintain documentation of continuing and

appropriate efforts to gain parental approval and support for students to attend the program offered outside of the school day; and

(c) Written procedures for parents or guardians to request reconsideration of their children's identification or lack of identification of eligibility for extended school services outside of the school day.

Section 4. Funding. (1) Each school district shall be eligible to receive a grant award from available funds to provide extended school services. Available funds shall be the amount of the total appropriation less two (2) percent for state administrative costs.

(2) The commissioner of education shall determine the amount of the grant award for which each school district is eligible based upon the following division of funds:

(a) One-half (1/2) of the total funds shall be distributed based on the most current average daily attendance (ADA);

(b) One-sixth (1/6) of the total funds shall be distributed based on the most current rates of economic deprivation (ED);

(c) One-sixth (1/6) of the total funds shall be distributed based on the most current dropout rates (DR); and

(d) One-sixth (1/6) of the total funds shall be distributed based on the most current CATS Academic Indices (AI).

(3) Actual district allocations shall be calculated as follows:

(a) Determine the state total for ADA by summing the ADA for all districts;

(b) Determine the percentage each district shall receive for ADA by dividing the district's ADA by the state total ADA. The resulting percentage (%) multiplied times the total funds available for average daily attendance equals the amount the district shall receive for ADA;

(c) State totals for ED, AI, and DR shall be calculated as follows:

1. The state total for ED shall be the sum of all districts' ED quotients. Each district's ED quotient shall be calculated by multiplying the district's ED times the district's ADA;

2. The state total for AI shall be the sum of all districts' AI quotients. Each district's AI quotient shall be calculated by subtracting the AI from 100 and then multiplying the difference by the district's ADA; and

3. The state total for DR shall be the sum of all district's DR quotients. Each district's DR quotient shall be calculated by multiplying the district's DR times the district's ADA;

(d) Determine the percentage each district shall receive for ED by multiplying the district's ED times the district's ADA and divide the result by the state's total ED, as determined by paragraph (c)1 of this subsection. The resulting percentage (%) multiplied times the total funds available for economic deprivation shall equal the amount the district shall receive for ED;

(e) Determine the percentage each district shall receive for AI by multiplying the district's AI times the district's ADA and divide the result by the state's total AI as determined by paragraph (c)2 of this subsection. The resulting percentage (%) multiplied times the total funds available for academic indices shall equal the amount the district shall receive for AI;

(f) Determine the percentage each district shall receive for DR by multiplying the district's DR times the district's ADA and divide the result by the state's total DR as determined by paragraph (c)3 of this subsection. The resulting percentage (%) times the total funds available for dropout rate shall equal the amount the district shall receive for DR; and

(g) Sum the district's portions for ADA, ED, AI, and DR to determine the district's total ESS allocation.

(4) To ensure the opportunity for all school districts to provide effective extended school services of adequate size and scope, a school district shall not receive a grant of less than $15,000.

(5) Grant awards shall be made to each school district upon approval by the commissioner of education of an application as prescribed in Section 5 of this administrative regulation. Regular grant funds shall be available for use by school districts for fifteen (15) months through September 30 of the last year of the grant period. All services shall be delivered by September 30 of the last year of the grant period and all expenditures shall be paid for extended school services by December 30 of the last year of the grant period.

(6) Received for extended school services shall be expended for instructional and support services necessary to provide an effective program.

(b) These services shall include salaries of personnel.

(c) Transportation and staff development related to the provision of extended school services shall be permissible support services. Support may include expenditures for field trips which shall not exceed two (2) percent of the district's allocation for students served by the extended school services program.

(d) Funds for extended school services shall not be used for capital outlay or indirect costs.

(e) School districts shall be authorized to enter into contractual arrangements if needed to provide comprehensive extended school service programs.

(f) The funds may be expended for instructional materials and supplies if a need is demonstrated and the district does not have the supplies and materials available.

(g) Part of these funds may be used for up to three (3) percent of the district's allocation for operation of plant for a summer extended school services program which shall be prorated if other programs are taking place at the same time and place.

(h) Part of these funds may be used for administrative costs which shall not exceed five (5) percent of the district's allocation.

(i) Students shall not receive monetary compensation to attend the extended school services program.

(j) School districts shall have on file written criteria for the selection of personnel employed in extended school services and ensure staffing decisions are made to best meet the needs of students.

(7) Financial records for extended school services shall be maintained by each school district and shall be submitted to the Department of Education via the state technology system.

Section 5. Requesting Funds. (1) The request for the use of extended school services funds shall be submitted as part of the comprehensive district's improvement plan.

(2) (a) District applications for funds shall be approved by the commissioner of education prior to the encumbrance or expenditure of funds for extended school services by any school district, including the contracting for personnel for extended school services.

(b) Approval of programs as described in each district's comprehensive improvement plan, required program reports, and request for a waiver for alternative service delivery shall be based on this administrative regulation and KRS 158.070.

Section 6. Program Evaluation. School districts providing extended school services shall submit to the Department of Education:

(1) Student data through the STI Program at the end of the regular school term and any summer term in which funds are expended for extended school services;

(2) a separate written evaluation and evaluative data as approved in the waiver application, if the school district receives approval to implement extended school services during the regular school day; and

(3) Comparative data relative to the regular extended school service program and the daytime extended school service program including:

(a) Pre- and post- student qualitative and quantitative performance data;

(b) Student attendance at extended school services; and

(c) Promotion and graduation data resulting from participation in extended school services.

Section 7. Waiver for Alternative Service Delivery. The commissioner of education may consider a request for a waiver to operate a program during the school day or to use an alternative delivery format. A request for waiver shall include:

(1) A rationale describing why a daytime program is needed in addition to the regular extended school services program, including specific data and documentation of previous efforts to serve individual students during the regular extended school program;

(2) A description of the instructional program that meets the criteria established in Section 2 of this administrative regulation and includes a schedule that ensures each participating student receives additional instructional time during the school day without missing instruction in the same or other assessed content area. The regular program teacher in collaboration with the teacher delivering extended school services shall set measurable goals and objectives for student and teacher performance, including formal and informal assessments that extend beyond classroom grades and CATS scores;

(3) A description of the student selection process that meets the criteria in Sections 2 and 3 of this administrative regulation;

(4) Detailed, accurate budget using correct MUNIS codes. A person compensated with ESS funds shall devote his or her time to delivering ESS during the time period for which he or she is being compensated with ESS funds; and

(5) Specific information related to program evaluation described in Section 6 of this administrative regulation. It shall include a continuous monitoring and evaluation plan to ensure the needs of individual learners are met. (17 Ky.R. 695; eff. 10-14-90; Am. 19 Ky.R. 994; 1375; eff. 12-9-92; 23 Ky.R. 186; eff. 9-5-96; 29 Ky.R. 1349; 2094; eff. 2-3-03.)

Appendix D

Survey Respondents' Ratings of the Helpfulness of Specified Professional Development and Other Resources

Training on how to evaluate the effectiveness of ESS services		
Districts - Have	18%	82%
Schools - Have	35%	64%
Districts - Don't Have	6% 25%	70%
Schools - Don't Have	6% 35%	59%
Professional development on specific instructional strategies to help struggling students		
Districts - Have	21%	79%
Schools - Have	19%	79%
Districts - Don't Have	22%	76%
Schools - Don't Have	25%	71%
Professional development relating to the implementation and administration of effective ESS programs		
Districts - Have	27%	73%
Schools - Have	31%	69%
Districts - Don't Have	6% 22%	72%
Schools - Don't Have	8% 33%	60%
Professional development relating to the management of ESS students' behavioral, attitudinal, and family issues		
Districts - Have	42%	58%
Schools - Have	35%	64%
Districts - Don't Have	9% 46%	46%
Schools - Don't Have	12% 48%	40%

□ Not Helpful   □ Somewhat Helpful   ■ Very Helpful

Source: Staff survey of districts and schools, Fall 2007.

Helpfulness of Other Resources: 2006-2007

Recommended software for credit recovery		
Districts - Have	11%	89%
High Schools - Have	12%	88%
Districts - Don't Have	19%	77%
High Schools - Don't Have	7% 32%	61%

Recommended software for diagnostic assessments		
Districts - Have	17%	83%
Schools - Have	20%	79%
Districts - Don't Have	22%	74%
Schools - Don't Have	6% 26%	68%

Recommended software and other materials for ESS instruction		
Districts - Have	18%	82%
Schools - Have	19%	79%
Districts - Don't Have	21%	75%
Schools - Don't Have	25%	71%

Example forms, letters, and other administrative documents you can adapt for your ESS program		
Districts - Have	29%	71%
Schools - Have	100%	
Districts - Don't Have	31%	66%
Schools - Don't Have	29%	69%

A guide on best practices for ESS		
Districts - Have	50%	49%
Schools - Have	45%	53%
Districts - Don't Have	22%	76%
Schools - Don't Have	31%	67%

□ Not Helpful □ Somewhat Helpful ■ Very Helpful

Source: Staff survey of districts and schools, Fall 2007.

Appendix E

Schools' Opinions Regarding Effectiveness of Their Extended School Services Programs: 2006-2007

Schools are similar to district central offices in the way they perceive the relative impact of their ESS programs on the four goals specified in 704 KAR 3:390. For all goals, they perceive daytime waiver programs to be more effective than after school and summer programs.

		Not Effective	Somewhat Effective	Very Effective
Enhancing the performance of students struggling in one or more content areas	Daytime Waiver		22%	78%
	After School		41%	58%
	Summer School		41%	55%
Reducing the retention rate	Daytime Waiver		29%	70%
	After School		41%	56%
	Summer School		29%	65%
Reducing the dropout rate	Daytime Waiver		28%	68%
	After School	10%	38%	53%
	Summer School	6%	34%	60%
Closing achievement gaps by helping low-performing students reach performance levels appropriate to their age ranges	Daytime Waiver		34%	65%
	After School		54%	44%
	Summer School		55%	41%

Source: Staff survey of schools, Fall 2007.

Appendix F

Extended School Services-related Practices in Districts and Schools:
Additional Data From Office of Education Accountability
Site Visits and Document Analysis

Examples of Districts Providing Systematic Oversight and Support

District ESS coordinators in several site visit districts did make organized attempts to ensure ESS program quality. They held regular meetings with school ESS coordinators and instructors to communicate expectations. Expectations included the need to focus on student learning, to ensure active engagement of ESS instructors with students, and to incorporate ESS into school planning processes. School ESS coordinators and principals in these districts were more likely than those in other districts to articulate clear goals for their ESS programs.

Documents submitted to OEA as part of this study indicate that there are several districts in the state that make systematic and comprehensive efforts to ensure ESS program quality. These districts specify ESS program goals and have methods of evaluating the degree to which programs are meeting those goals. These examples illustrate the possible role that districts can play in focusing schools' attention on the quality of ESS programs. This type of support appears to be rare, however.

One district provides ESS coordinators with a comprehensive manual that includes program guidelines, data-reporting requirements, sample forms, and an evaluation rubric. In this district, ESS is linked explicitly with a tiered approach to reading intervention from kindergarten through 10th grade. The district is in the process of integrating ESS with math interventions.

The following documents provide an example of how the district integrates ESS with diagnostic assessments, performance benchmarks, and resources available for intervention with struggling readers at the P2 level. The district recommends use of daytime waiver instructors to provide supplemental instruction to Tier II or Tier III students. Suggested practices and resources are outlined under Tier II and Tier III "Core Program and Interventions."

Reading Benchmarks for P2 Students

Fall P2 Benchmarks	Tier I	Tier II	Tier III
DIBELS Phoneme Segmentation	35 or more	10-34	0-9
DIBELS Letter Identification	37 or more	25-36	0-24
DIBELS Nonsense Words	25 or more	13-24	0-12
DRA	3	A-2	N/A
Rigby Level	3-4	1-2	N/A
GRADE Vocabulary Composite (Decoding & Vocabulary)	**Stanine 4 and Above <u>or</u> 50th Percentile and Above**	**Stanine 2-3**	**Stanine 0-1**
GRADE Comprehension Composite (Comprehension)	**Stanine 4 and Above <u>or</u> 50th Percentile and Above**	**Stanine 2-3**	**Stanine 0-1**
Winter P2 Benchmarks	**Tier I**	**Tier II**	**Tier III**
DIBELS Phoneme Segmentation	35 or more	10-34	Less than 10
DIBELS Nonsense Words	50 or more	30-49	Less than 30
DIBELS Oral Reading Fluency	20 or more	8-19	Less than 8
Rigby Level	8	4-7	1-3
Predictive Assessment Series (PAS)	Apprentice or Higher	Novice	Novice
DRA	10	4-8	A-3
GRADE Vocabulary Composite (Decoding & Vocabulary)	**Stanine 4 and Above <u>or</u> 50th Percentile and Above**	**Stanine 2-3**	**Stanine 0-1**
GRADE Comprehension Composite (Comprehension)	**Stanine 4 and Above <u>or</u> 50th Percentile and Above**	**Stanine 2-3**	**Stanine 0-1**
Spring P2 Benchmarks	**Tier I**	**Tier II**	**Tier III**
DIBELS Phoneme Segmentation	35 or more	10-34	0-10
DIBELS Nonsense Words	50 or more	30-49	0-30
DIBELS Oral Reading Fluency	40 or more	20-39	0-20
Rigby Level	11 and above	9-10	1-8
Predictive Assessment Series (PAS)	Apprentice or Higher	Novice	Novice
DRA	16	10-14	A-8
Rigby	11	8-10	1-7
GRADE Vocabulary Composite (Decoding & Vocabulary)	**Stanine 4 and Above <u>or</u> 50th Percentile and Above**	**Stanine 2-3**	**Stanine 0-1**
GRADE Comprehension Composite (Comprehension)	**Stanine 4 <u>or</u> 50th Percentile and Above**	**Stanine 2-3**	**Stanine 0-1**

P2 Tiered Literacy System

Tier I Core Program	Schedule	Resources
(DISTRICT) Core Literacy Program Instruction for Reading & Writing	Daily	❑ (DISTRICT) Core Content Guides for Early Primary ❑ Kentucky Program of Studies ❑ Phonics Lessons (Pinnell & Fountas) ❑ Rigby Literacy Guided and Shared Reading (Rigby)
Individualized CCG Accommodations	Daily	❑ (DISTRICT) Core Content Guides for Early Primary
Use of Supplemental Materials	Daily	❑ Literacy Center Materials (Leap Frog) ❑ Nonfiction Leveled Text (Book Room) ❑ Month by Month Phonics (Cunningham & Hall)
Tier II Core Program and Interventions	**Schedule**	**Resources**
(DISTRICT) Core Literacy Program Instruction for Reading & Writing	Daily	❑ (DISTRICT) Core Content Guides for Early Primary ❑ Kentucky Program of Studies ❑ Phonics Lessons (Pinnell & Fountas) ❑ Rigby Literacy Guided and Shared Reading (Rigby)
Individualized CCG Accommodations	Daily	❑ (DISTRICT) Core Content Guides for Early Primary
Use of Supplemental Materials	Daily	❑ Literacy Center Materials (Leap Frog) ❑ Non-fiction Level Text (Book Room) ❑ Month by Month Phonics (Cunningham & Hall) ❑ Comprehension Plus (Pearson)
Earobics (Phonics)	30-45 Additional Minutes Daily	❑ Earobics Step I Software & Classroom Materials (Cognitive Concepts)
Additional Guided Reading Group (Comprehension)	20-30 Additional Minutes Daily	❑ Book Room Materials ❑ (DISTRICT) Guided Reading Protocol ❑ Additional Guided Reading Group & BDA Intervention Cards Lesson Plan in (DISTRICT) Reading Intervention Protocol
Tier III Core Program and Interventions	**Schedule**	**Resources**
(DISTRICT) Core Literacy Program Instruction for Reading & Writing	Daily	❑ (DISTRICT) Core Content Guides for Early Primary ❑ Kentucky Program of Studies ❑ Phonics Lessons (Pinnell & Fountas) ❑ Rigby Literacy Guided and Shared Reading (Rigby)
Individualized CCG Accommodations	Daily	❑ (DISTRICT) Core Content Guides for Early Primary
Use of Supplemental Materials	Daily	❑ Literacy Center Materials (Leap Frog) ❑ Non-Fiction Leveled Text (Book Room) ❑ Month by Month Phonics (Cunningham & Hall)
Earobics (Phonics)	30-45 Additional Minutes Daily	❑ Earobics Step I Software & Classroom Materials (Cognitive Concepts)

Additional Guided Reading Group (Comprehension)	20-30 Additional Minutes Daily	❑ Book Room Materials ❑ (DISTRICT) Guided Reading Protocol ❑ Additional Guided Reading Group & BDA Intervention Cards Lesson Plan in (DISTRICT) Reading Intervention Protocol
Reading Recovery (Preferred intervention) *Please note that students who are placed in Reading Recovery are to **only** receive Reading Recovery. Students are not to receive other interventions while in Reading Recovery.*	30 Additional Minutes Daily for 12-20 weeks	❑ Reading Recovery Program
Reading Mastery (Preferred intervention for students not eligible for Reading Recovery or exited from Reading Recovery without making progress.)	30-45 Additional Minutes Daily	❑ Reading Mastery Materials (SRA)
Fluency Intervention Strategies for Rate & Accuracy	30-45 Additional Minutes Daily	❑ DIBELS Progress Monitoring Passages ❑ Fry's 100 Word Lists ❑ Fry's Instant Phrases & Short Sentences ❑ Targeted Fluency Intervention Lesson Plan for Tier III Students

Services to Support Tiered Interventions

Access to Services Beyond Classroom and/or Instructional Day	Building-based	❑ Extended Time instruction beyond school day, week, or year using supplemental materials, additional Earobics materials, Reading Mastery lessons or Rigby Guided and Shared Reading Lessons). **(ESS)**
Consultation with Building Literacy Staff	Develop and implement individualized strategies as needed	❑ Instructional Coach ❑ ESL Resource Teacher ❑ ECE Consulting Teacher ❑ Reading Recovery Teacher ❑ Building Literacy Team and/or Student Support Team
Community Stakeholders	Tutoring & Mentoring	❑ District Volunteer Training Protocol ❑ Read to Children

P2 End-of-Year Reading Expectations

	✓
Phonemic Awareness	✓
Blend separately spoken phonemes to make a meaningful word (for example, student hears /s/ /t/ /o/ /p/ and says *stop*).	
Separates sounds by saying each sound alone (for example, student hears *cat* and says /c/ /a/ /t/).	
Understands how a word is transformed when a sound is added, substituted, or removed.	
Words and Phonetic Analysis	✓
Knows the regular letter-sound correspondences and uses them to decode regularly spelled one-syllable words and nonsense words.	
Uses onsets and rimes (word families and patterns) to create new words that include blends and digraphs	
Can count the number of syllables in a word	
Recognizes about 150 sight words, including common irregularly spelled words (such as *have, said, where, two*) as they encounter the words in reading	
Recognizes about 250-350 easily sounded out words	
Spells correctly three- and four-letter short vowel words.	
Shows spelling consciousness or sensitivity to conventional spelling.	
Uses structural cues to identify unknown words when reading text (for example, language patterns, sentence boundaries).	
Accuracy and Fluency	✓
Reads grade level texts not seen before with 90% accuracy or better.	
Reads aloud orally at 40 words per minute or higher.	
Demonstrates fluency in reading grade appropriate text (for example, reads phrases rather than word-by-word, uses the cues of punctuation—including commas, periods, question marks, and quotation marks—to guide them in fluently reading aloud)	
Vocabulary	✓
Uses new vocabulary and grammatical constructions in own speech.	
Uses a variety of sources to build new vocabulary (e.g., word walls, discussion, dictionary, songs, poetry, technology).	
Comprehension	✓
Reads and comprehends both fiction and nonfiction that is appropriately designed for the grade level.	
Sets a purpose for reading (for example, to find information, for pleasure).	
Relates reading to own life experiences.	
Predicts and justifies what text is about using prior knowledge, title, illustrations, and context clues.	
Retells a fiction text.	
Identifies the story elements in a literary text (setting, plot, characters, problem(s), events, solution(s)/ resolution).	
Discusses motives of characters.	
Summarizes nonfiction texts.	
Identifies the main idea or theme and supporting details from literary and informational text.	
Discusses how, why, and what-if questions in sharing nonfiction texts.	
Describes new information gained from texts in own words.	
Reads and understands simple written instructions.	
Self-Monitoring and Self-Correcting Strategies	✓
Rereads to self-monitor and to correct errors.	
Cross-checks meaning, structural, and visual cues to identify unknown words.	
Notices whether words sound right, given their spelling.	
Notices whether words make sense in context.	
Notices when sentences don't make sense.	
Reading Habits	✓
Reads four or more books every day independently or with assistance (this reading can be	

done in all content areas).	
Discusses at least one of these books with another student or a group.	
Reads some favorite books many times, gaining deeper comprehension.	
Reads own writing and writing of classmates.	
Engages with a variety of genres.	
Listens to and discusses every day at least one book or chapter that is more difficult than what he/she could read independently.	
Gives reactions to a book, referring to parts of the text when presenting or defending a claim.	
Politely disagrees with classmates when appropriate.	
Relates own contributions to what others have said.	
Asks other students questions that seek elaboration and justification.	
Chooses to engage in a variety of literary activities.	

Example of CSIP Including Detailed Planning Related to ESS

School M is site visit school that is not in the district described above (see Table 4.2 for a list of site visit schools by letter). The CSIP in School M specified that ESS would be used in the spring semester to increase student proficiency in writing in grades 3-5. In addition, ESS would be used to support a part-time daytime waiver teacher to work with students who are below grade level in reading and mathematics. These ESS strategies were linked to other, associated strategies also specified in the school's CSIP. Other strategies included writing check-lists in all students' folders; on-demand writing prompts; use of interim assessments to place students in small, flexible reading groups; and emphasis during biannual professional development days on staff's use of assessment data for classroom and team planning.

Referral Practices in Site Visit Elementary, Middle, and High Schools

Referral practices in site visit middle and high schools did not focus systematically on identifying students' specific learning goals. Instructors and ESS coordinators at the middle and high school levels reported that ESS student referrals to before- and after-school programs were most often based on low grades or failure to complete assignments. Standardized assessments were used to refer students to daytime waiver ESS programs or to identify entire classes for daytime waiver services. There was no evidence, however, that data from these assessments was used by ESS coordinators or ESS instructors to identify students' specific learning needs.

Five out of six site visit elementary schools had procedures in place to identify ESS students' specific learning goals. In three schools, standardized assessment data were used by teachers and administrators to identify students and content to be targeted by ESS instruction. In a fourth school, the ESS after-school instructor was teaching the same students she taught during the regular school day. ESS instruction was based on learning goals identified with regular classroom assessments. In a fifth school, the daytime waiver teacher met regularly with classroom teachers to discuss students' needs.

Description of Recommended Practices in one Elementary School

The ESS daytime waiver program in School M, whose detailed CSIP was described above, provided supplemental assistance in reading and mathematics to students identified through

interim assessment scores. A part-time ESS instructor taught students individually or in small groups through collaboration with the regular classroom teacher as well as pull-out instruction in a separate classroom. The instructor made detailed daily plans for every student group and kept weekly progress reports for each student. She coordinated ESS instruction with instruction provided in the regular classroom by meeting with regular classroom teachers during common planning periods and by communicating with teachers through email. The instructor was paid for 50 minutes of planning time each day. Sample lesson plan and progress report forms from School M are provided below.

School M Sample ESS Lesson Plan

ESS Schedule
Daily Lesson Plans
Date_____

8:30-9:00 - 5th Grade Reading Collaboration with _____
9:00-9:35 - 5th Grade Reading (pull-out)
(student, student, student, student, student)
SWBAT: _____

_____
Procedure:_____

_____

_____

9:35-9:50 Planning

9:50-10:25 – 4th Grade Reading Collaboration with _____
10:25-10:45- 4th Grade Reading (pull-out)
(student, student, student, student, student)
SWBAT: _____

_____
Procedure:_____

_____

_____
10:45- 11:05 - 4th Grade Math Collaboration with _____
11:05 -11:30 - 4th Grade Math (pull-out)
(student, student, student, student, student, student)
SWBAT: _____

_____
Procedure:_____

_____
_____

11:30-12:00 - 5th Grade Math Collaboration with _____

12:00-12:30 – Lunch

12:30-12:55 – 3rd Grade Math Collaboration with _____
12:55-1:15 – 3rd Grade Math (pull-out)
(student, student, student, student, student)
SWBAT: _____
_____
Procedure:_____
_____

1:15-1:45 – Planning
1:45-2:15 – 5th Grade Math with _____ (pull-out)
(student, student, student, student, student)
SWBAT: _____
_____
Procedure:_____
_____
_____

2:15-2:50 -3rd Grade Reading (pull-out) with all 3rd grade teachers.
(student, student, student, student, student)
SWBAT:_____
_____
Procedure:_____
_____
_____

2:50-3:00-Planning

REVIEWED DAILY:

READING- All students will use different strategies to improve phonics, phonemic awareness, fluency, and vocabulary comprehension.

MATH- All students will practice mental math multiplication/division facts. We will continue to review them until students know them by memory. Students will practice telling time and identifying money.

School M Sample ESS Student Progress Report for Mathematics

ESS Progress Report
Grade:_____ School Year: 2007- 08

Name:_____ **Teacher:**_____

ASSESSMENT CODE

E	Excels: exceeds required performance
S	Satisfactory: demonstrates skill most of the time
I	Improvement shown: with assistance, the student is demonstrating progress
N	Needs improvement: with much assistance, the student is demonstrating little progress in this area. Extra time and practice is needed.
	Blank box indicates a skill not introduced at this time.

MATH	1st	2nd	3rd	4th	5th	6th

Number & Place Value

	1st	2nd	3rd	4th	5th	6th
* whole numbers read/write/model/count						
* whole numbers compare & order						
* whole numbers place value						

Fractions & Decimals

	1st	2nd	3rd	4th	5th	6th
* read, write, & identify						
* compare & order						
* equivalent relationships						

Number Computation

	1st	2nd	3rd	4th	5th	6th
* whole numbers-addition & subtraction						
* whole numbers-multiplication & division						
* estimation						

Geometry

	1st	2nd	3rd	4th	5th	6th
* points, lines, & angles						
* two & three dimensional shapes						
* similar, congruent, symmetry, transformations						

Measurement

	1st	2nd	3rd	4th	5th	6th
* time, temperature, & money						
* length, width, mass, volume						
* perimeter & area						

Instructional Practices in School K

In School K's before-school program, students worked individually using math software. This software was aimed primarily at diagnosing students' skill deficiencies and providing appropriate practice problems. The software provided animated prompts related to practice problems. Math teachers were available to assist students with questions. Although the ESS instructor in this program was not able to identify a randomly chosen student's learning goals, she described methods by which these learning goals would be determined later in the semester.

Instructional Practices in Middle and High School Daytime Waiver Programs

There was little evidence that daytime waiver programs at site visit middle and high schools were designed to focus on students' specific learning needs. Of the four programs observed at these levels, two followed a model in which the ESS instructor "collaborated" with a regular classroom teacher. In this model, both the regular teacher and the ESS instructor helped any student who needed assistance with the regular class work. Instructors in these classrooms were not able to identify individual students' specific learning needs during site visit interviews. One daytime waiver program was used to reduce class size across two classes. The instructor in this program did not report any changes, as a result of the class size reduction, related to the identification of specific students or skills for reteaching.[1] OEA staff did observe one daytime waiver program in which daytime waiver instructors provided assistance to ESS students who were identified based on interim assessment data. Daytime waiver instructors were not aware, however, of students' specific skill needs as indicated by data. Instructors reported that students did not have specific skill needs but needed help with "organizational skills."

Strategy Designed To Ensure Attendance of Students in a High School After-School Program

The ESS after-school program in School B was explicitly linked with a schoolwide mentoring program designed to support students by providing regular contact with an assigned staff mentor and ensuring consistent communication among teachers, students, mentors, and parents. Mentors communicated bimonthly with students' teachers and parents. Communication included follow-up with parents and teachers related to ESS referrals. The principal supported this mentoring program with regular, substitute-supported release time for mentors. The ESS coordinator in this school estimated that 60-70 percent of students referred received ESS. These estimates were greater than those at other site visit middle and high schools. OEA staff observed high attendance in the after-school program on the day of the site visit.[2]

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[1] This instructor did believe that class size reduction would increase the learning of all students in her class by providing more opportunity for individual assistance and more opportunity for students to express mathematical thinking.

[2] The school did not provide transportation for this ESS after-school program. There is less need for transportation in this district as it is in an urban setting.

District Evaluation of ESS Programs

The documents below provide an example of how one district, described at the beginning of this appendix, evaluates its ESS programs as part of comprehensive efforts to ensure program quality. The evaluation is based on a rubric of best practices identified by the district. This rubric is included in the manual provided to ESS school coordinators. The documents below summarize findings from evaluations of ESS programs in the districts' high schools.

Extended School Services Rubric

Component	Non-Productive	Limited	Partially Operational	Fully Operational

DESIGN OF PROGRAM

Planning	No evidence of an ESS planning committee	Coordinator and Principal or another administrator plans the program	ESS planning committee designed the program and meets only at beginning and end of program	Instructional Leadership Team designs, implements and evaluates program regularly
Evaluation of Program	Program continues year to year the same with no consideration to changes in data	Program committee looks at one set of data to evaluate the program	Program Committee looks at student selection, curriculum, hours per week, class size & one set of data to evaluate the program	Student progress drives evaluation of program; committee looks at selection, curriculum, hours per week & class size
Evaluation of Student Growth	No evidence of evaluation	Teacher made evaluations	District or state evaluations	District and state evaluations

Curriculum	Homework, Make-up tests and make-up work	Dittos, worksheets, packets, textbooks	Some use of dittos, worksheets, packets textbooks plus District interventions and/or Core Content	Use of District interventions and Core Content
Formal Referral Process	Students selected based on teacher recommendations	Students selected based on grades and teacher recommendations	Students selected based on individual District or state assessments	Students selected based on individual District and state assessments
Grade Levels Served	Focus is only on one grade/level	Less than half of grades/levels have opportunity for ESS	Most grades/levels have opportunity for ESS	All grades/levels have opportunity for ESS
Communications to Parents	No evidence of communication to parents	Parent letters are sent home	Parent letters sent with one additional method of communication	Parent letters sent and two or more additional methods of communication
Student Enrollment	Up to 10% of eligible students receive ESS	Less than half of eligible students receive ESS	51-80% of eligible students receive ESS	More than 80% of eligible students receive ESS
Class Size (average of 6 to 8 students)	Majority of classes have too few or too many students	Less than 50% of the classes fall within the guideline	Most classes fall within the guideline	All classes fall within the guideline
Instructional Time per week	Up to 30 minutes per week	Up to 60 minutes per week	Up to 90 minutes per week	More than 90 minutes per week
Instructional Time per semester	1 to 10 hours	11 to 30 hours	31 to 59 hours	60 or more hours

Supplements not supplants regular program	Instruction supplants regular class instruction			Instruction supplements regular class instruction

COMMUNICATION

Feedback to Teachers	No evidence of feedback to regular teachers	Some evidence of informal feedback	Formal & informal feedback is given on a sporadic basis	Formal & informal feedback is given on a regular basis
Feedback to Parents	No evidence of feedback to parents	Annotated work occasionally sent home	Annotated work sent home on a regular basis	Feedback included in report card or progress report

RECORDS

Budget	No evidence of a detailed budget	Some evidence of a detailed budge to spend all funds	Evidence of a detailed budget to spend all funds but ledger not kept current	Evidence of a detailed budget to spend all funds with ledger kept current
Sign in/out sheets	Teachers do not sign in/out correctly	Teachers sign in & out, but keep their own sheets	Teachers sign in daily in front office, but do not sign out.	Teachers sign in and out daily in front office using ESS form
Student attendance	Collected at end of program	Collected twice during the semester	Collected monthly	Collected every two weeks
Communication between coordinator, Principal, ESS teaching and support staff	No evidence of communication	Informal communication only	Informal and formal, but not on a regular basis	Informal and formal on a regular basis with all personnel receiving information in a timely manner

Evaluation Practices Observed in Site Visit Schools

When asked to describe evidence of program effectiveness during site visit interviews, school ESS coordinators most often reported general impressions such as improved grades or student engagement. School coordinators cited program weaknesses such as low attendance, disorganization, poor motivation, or lack of focus on students' specific needs. School coordinators' impressions of program strengths and weaknesses were rarely supported by systematically collected data, however.

Several site visit schools used CATS scores or other standardized assessment scores to evaluate their ESS programs. School leaders acknowledged, however, the difficulty of establishing links between the ESS program, in particular, and these outcome measures. They pointed out that academic outcomes of students receiving ESS were likely to be affected by other school improvement efforts. Fluctuations in assessment scores from year to year can reflect differences in student groups, especially in small schools.

OEA staff observed little evidence in site visit districts or schools of attempts to improve ESS programs based on analysis of program effects. Only 4 out of 15 schools reported any adjustments to their ESS programs. Two schools cited low attendance in after-school programs as the reason they had switched to daytime waiver programs. In one school, ESS were moved out of the cafeteria due to noise. In another, a regular ESS after-school schedule was created to allow for better alignment of student needs and ESS.

Appendix G

Student Information System Data Related to Types of Assistance Provided in Extended School Services Programs

As shown in Figure H.1, ESS programs are more likely to provide homework assistance as students move up through the grades.

Figure G.1
Types of Assistance by Grade Level of Student: 2005-2006
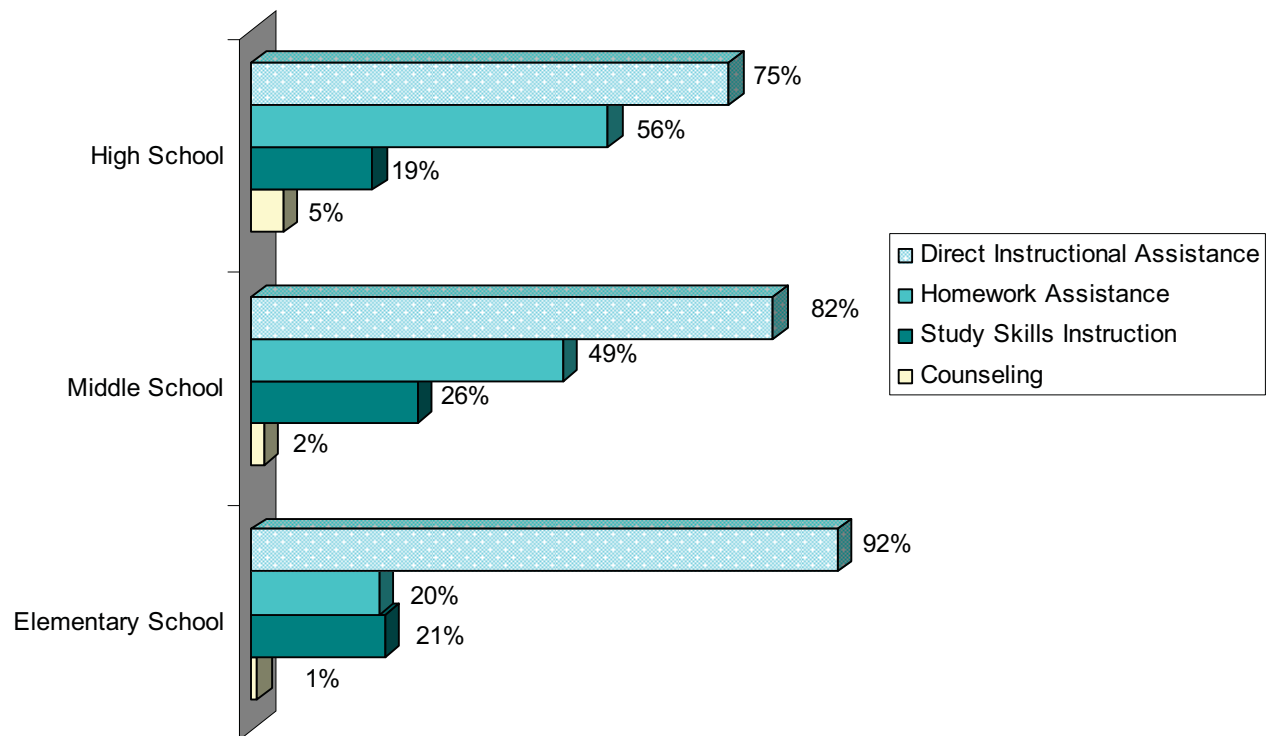
Source: Staff compilation of data from the Kentucky Department of Education.

Appendix H

Office of Education Accountability Survey Data Related to Staffing Barriers in Elementary, Middle, and High Schools

OEA survey data indicate that middle and high schools have greater difficulties finding teachers in needed content areas for daytime waiver and summer school programs than do elementary schools. At the elementary level, 89 percent of respondents indicated that finding needed content area teachers in these programs was rarely or never a problem, compared to 66 percent of middle school respondents and 70 percent of high school respondents. High school and middle school respondents were also more likely to indicate problems regarding staff's lack of time to teach in daytime waiver programs than were elementary school respondents. At the elementary level, 87 percent of respondents reported no problems associated with teachers' lack of time to teach in daytime waiver programs, compared to 62 percent of middle and 67 percent of high school respondents.

Appendix I

Site Visit Attendance Data

Table I.1
Estimated Attendance of ESS Students in Site Visit Schools*

School	School Level	ESS Program	Estimated Attendance
A	High	Daytime	Same as class attendance
B	High	After school	No Records Coordinator estimated 60-70 %
C	High	After school	No Records Coordinator estimated about 1/3 show up
D	Elem	Daytime	Same as class attendance
E	Middle	Daytime	Same as class attendance
F	High	Daytime	Same as class attendance
G	Elem	After school	Teacher reported high attendance
H	Elem	After school	Teacher reported high attendance
I	Elem	Intersession	N/A**
J	Elem	After school	70 %
K	Middle	Before school	1 out of 15 of students referred in attendance on morning of site visit; in total, 7 students attending
L	High	Before school	No records 25 out of 125 letters mailed out came back
M	Elem	Daytime	Same as class attendance
N	Middle	After school	No Records Coordinator estimated 50 percent of failing students may have attended at least one program
O	High	Daytime	Same as class attendance

* None of the site visit middle and high schools made any systematic attempt to compare students enrolled in ESS before- and after-school programs with students referred to these programs. Most schools only begin to document students when they attend ESS programs. They have no permanent record of students referred to the program.
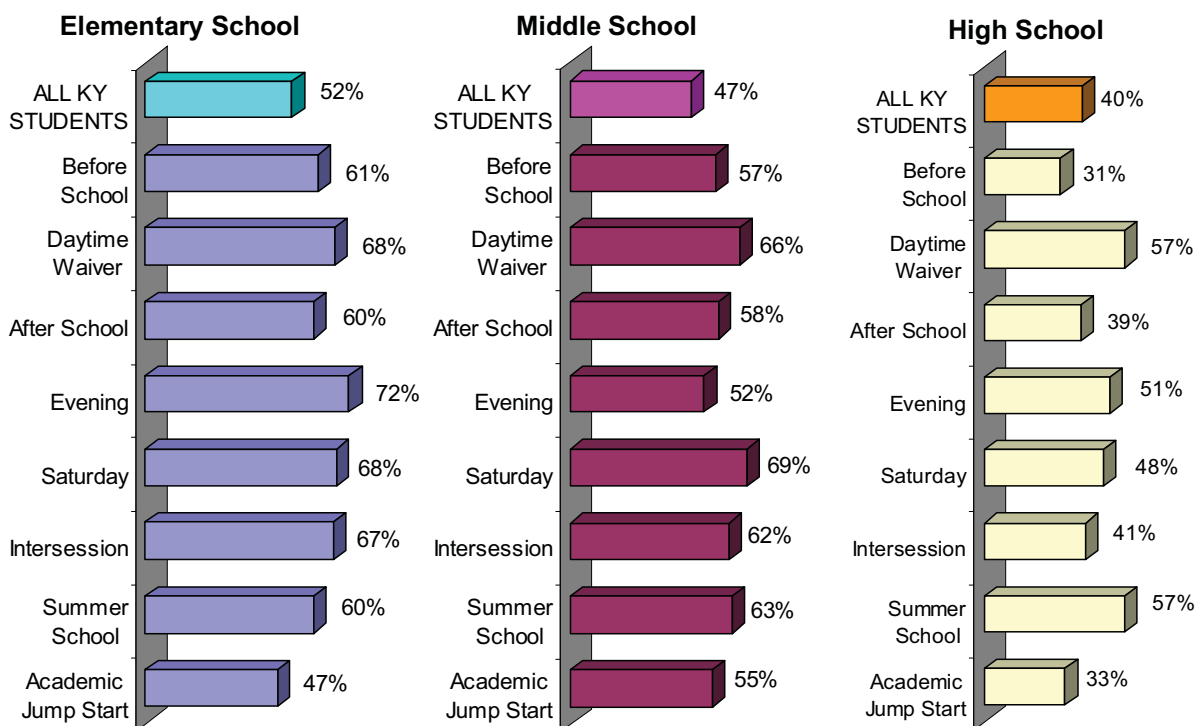******No ESS students were identified for this program.

Appendix J

Differences in Economic Disadvantage by Program Type and School Level

Figure K.1 illustrates the percentage of economically disadvantaged students in different ESS programs at different school levels. Using economic disadvantage as an indirect indicator of academic need, it appears that ESS summer school programs and daytime waiver programs serve the highest percentage of students who are likely to be struggling academically. Programs serving the lowest percentage of economically disadvantaged students are before-school, after-school, and academic jump start programs at the high school level. These programs serve 31 percent, 41 percent, and 33 percent economically disadvantaged students, respectively. These data reinforce concerns expressed by high school staff that before- and after-school programs do not always reach the students who need the most assistance. Contrary to concerns expressed by middle school staff, these data suggest that middle school before- and after- school programs are more likely than high school programs to reach students likely to be experiencing academic difficulty.

Figure J.1
Percent of Students Eligible for Free or Reduced-Price Lunch,
by Program Type and Grade Level: 2005-2006

	Elementary School	Middle School	High School
ALL KY STUDENTS	52%	47%	40%
Before School	61%	57%	31%
Daytime Waiver	68%	66%	57%
After School	60%	58%	39%
Evening	72%	52%	51%
Saturday	68%	69%	48%
Intersession	67%	62%	41%
Summer School	60%	63%	57%
Academic Jump Start	47%	55%	33%

Source: Staff compilation of data from the Kentucky Department of Education.

The lower numbers of economically disadvantaged students in before- and after-school programs at the high school level reflect, in part, lower numbers of high school students overall who register for the federal free- and reduced-price lunch program.[1] Of note, however, is the relatively lower drop in the percentage of ESS students who are economically disadvantaged in high school daytime waiver programs than the drop in the percentage of high school ESS students who are economically disadvantaged in before- and after-school programs. For example, the percentage of ESS students served by daytime waiver programs who are economically disadvantaged (57 percent) is 11 percentage points less than the percentage of elementary school ESS students served by daytime waiver programs who are economically disadvantaged (68 percent). In contrast, the percentage of high school ESS students served by before-school programs who are economically disadvantaged (31 percent) is 30 percentage points lower than the percentage of elementary students served by before-school programs who are economically disadvantaged (61 percent).

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[1] Decreased numbers of students recorded as eligible for the free- and reduced-price lunch program may reflect the reluctance of students at the high school level to apply for the program. These numbers also reflect demographic shifts in the high school student population due to the large numbers of students who drop out of high school.

Appendix K

Office of Education Accountability Survey Data
Related to Attendance Barriers

The OEA survey asked school principals and ESS coordinators to rank the severity of different barriers to student attendance for three types of programs—after school, daytime waiver, and summer school. Survey data reflect site visit data related to barriers to student attendance in ESS programs.

As shown in Figure L.1, there are fewer barriers to student attendance in daytime waiver programs than there are in other types of ESS programs. Student motivation and scheduling conflicts are the most frequently cited barriers to student attendance in after-school and summer-school programs. Student motivation was cited by 79 percent of school staff as sometimes or often a barrier to student attendance in after-school programs. Scheduling conflicts were identified by 68 percent of staff as sometimes or often a barrier to student attendance in after-school programs. Stigma associated with attendance in ESS was not reported as a significant barrier to attendance in any of the three programs.

Transportation was also cited frequently as a possible barrier to student attendance in after-school and summer programs. Transportation was cited as sometimes or often a barrier to attendance in after-school programs by 56 percent of school respondents and sometimes or often a barrier to attendance in summer-school programs by 42 percent of respondents. These numbers must be interpreted in light of the many schools, reported in Chapter 3, that provide ESS students with transportation. Transportation would likely be identified as a greater barrier to attendance if it were not provided in these schools.

Figure K.1
Schools' Perceptions of Barriers to Student Attendance of ESS Programs: 2006-2007
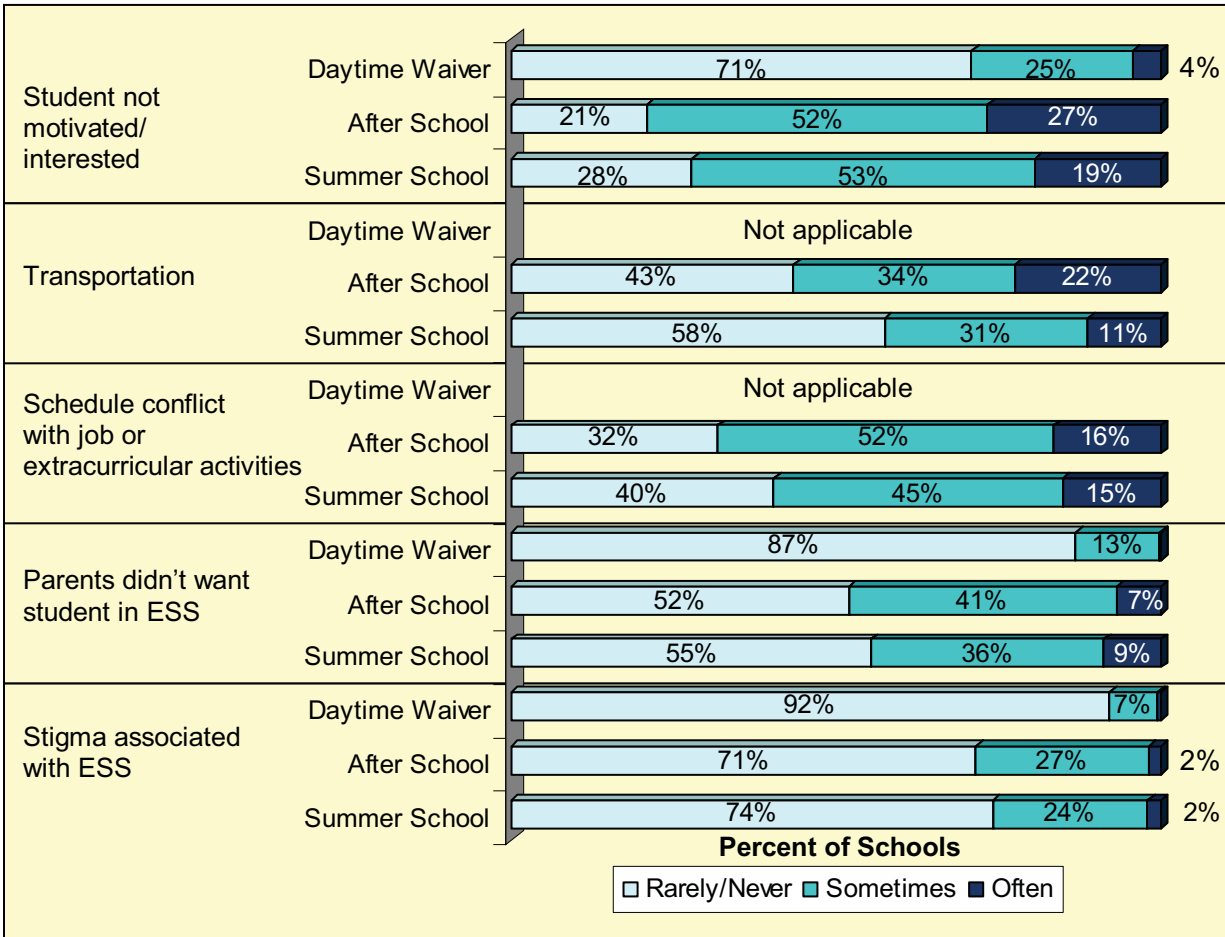
Source: Staff survey of schools, Fall 2007.

Barriers to attending after-school programs are more severe in some grade levels than in others. Student motivation was cited as often a barrier to student attendance by only 15 percent of elementary schools surveyed, compared to 33 percent of middle schools and 51 percent of high schools. Scheduling conflicts were reported as a frequent barrier by 12 percent of elementary schools, 9 percent of middle schools, and 35 percent of high schools. In contrast, elementary schools were more likely to identify lack of parental support as a barrier to attendance in after-school programs. Only 41 percent of elementary schools reported that parent permission was rarely or never a barrier to student attendance, compared to 50 percent of middle schools and 78 percent of high schools. Some survey respondents commented that parents sometimes fail to understand the need to intervene at a young age.