

2015 NDTAC NATIONAL CONFERENCE

Looking Ahead: Preparing for the Future of Your State
Title I, Part D Program

Arlington, VA | May 19-21, 2015



Breakout Session

Risk Management

All State education agencies (SEAs), State agencies (SAs), local education agencies (LEAs), facilities, and instructional programs have resources, systems, and processes in place that reflect their

- Strategic and operational performance goals
- Fiscal requirements
- Legal obligations

Anything that compromises or jeopardizes the ability of an SEA or its subgrantees to achieve these priorities is a risk. In this session, you will use information from the panel presentations, the Office of Safe and Healthy Students (OSHS) Monitoring Plan, and the Guiding Principles on correctional education to perform the following steps:

1. **Risk identification:** Identify potential risks to the Title I, Part D program in your State
2. **Risk analysis:** Determine the positive and negative consequences associated with each identified risk
3. **Risk evaluation:** Prioritize identified risks
4. **Risk treatment:** Brainstorm ways in which the SEA could mitigate the prioritized risks and how NDTAC might assist you and your subgrantees

Step 1: Risk Identification

Identify at least five potential risks to the Title I, Part D program in your State using the table below. It is not necessary to identify a risk for each cell in the table. The five Federal guiding principles for providing high-quality education in juvenile justice secure care settings and the Federal monitoring key compliance areas for the Title I, Part D program are provided to help you brainstorm. Review the handouts for both the guiding principles and monitoring indicators to self-assess areas of vulnerability in your State. Use the table to record your thoughts.

Guiding Principles for High-Quality Education					
OSHS Monitoring Key Compliance Areas	I. A safe, healthy, facility-wide climate that prioritizes education, provides the conditions for learning, and encourages the necessary behavioral and social support services that address the individual needs of all youths, including those with disabilities and English learners	II. Necessary funding to support educational opportunities for all youths in long-term secure care facilities, including those with disabilities and English learners, comparable to opportunities for peers who are not system-involved	III. Recruitment, employment, and retention of qualified education staff with skills relevant to juvenile justice settings who can positively impact long- term student outcomes through demonstrated abilities to create and sustain effective teaching and learning environments	IV. Rigorous and relevant curricula aligned with State academic, career, and technical education standards that utilize instructional methods, tools, materials, and practices that promote college- and career- readiness	V. Formal processes and procedures— through statute, memoranda of understanding, and practice—that ensure successful navigation across child-serving systems and smooth reentry into communities
Standards, Assessment, and Accountability					

Guiding Principles for High-Quality Education

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Instructional Support					
Fiduciary		<p>Poor formula funding model → Inequitable allocation of TIPD funds → Federal monitoring finding (Indicator 3.2)</p>	<p>Example: Statewide Reduction in Force (RIF) of tenured instructional staff to address forecasted budget shortfalls</p>		

Step 2: Risk Analysis

List each of the risks you identified in step 1 in the table below. Determine the positive and negative consequences associated with each identified risk according to the example in the first row.

Risks	How likely is the risk to occur (e.g., low, medium, high)?	What are the negative consequences if the risk occurs?	What, if any, opportunities does the risk present?	If the risk were to occur, what student-level outcomes could be impacted?
Statewide RIF of tenured instructional staff to address forecasted budget shortfalls	High	Replace experienced staff with inexperienced staff	Replace disengaged staff (as indicated by high absenteeism) with newer staff who are more energized and committed to the population	Potentially lower student performance on math and reading assessments but higher student engagement in the short term
1. Poor formula funding model → Inequitable allocation of TIPD funds → Federal monitoring finding (Indicator 3.2)	High	<ul style="list-style-type: none"> • Not serving students in greatest need • Insufficient staffing and student support services at some facilities • Potential supplanting issues 	<ul style="list-style-type: none"> • “Excess” funding at some facilities allows for the development of innovative student programming and in-service teacher training 	<ul style="list-style-type: none"> • Lower math and reading scores • Lower high school diploma • Poor transitions
2.				
3.				

Risks	How likely is the risk to occur (e.g., low, medium, high)?	What are the negative consequences if the risk occurs?	What, if any, opportunities does the risk present?	If the risk were to occur, what student-level outcomes could be impacted?
4.				
5.				
6.				
7.				
8.				

Step 3: Risk Evaluation

On the basis of your analysis, which of these risks are of most concern to you? Prioritize three to address in your role as a State coordinator.

Step 4: Risk Treatment

List your prioritized risks in the table below. What training and technical assistance (TTA) activities could you offer to your subgrantees to minimize or eliminate the potential negative impact of these risks on student outcomes? Determine ways in which you, in your role as Part D Coordinator, could mitigate these risks and how NDTAC might assist you and your subgrantees in each of the three Part D program administration areas: (1) planning and funding, (2) monitoring and compliance, and (3) reporting and evaluation. Use the example in the first row to guide you. It is not necessary to identify TTA activities for each administrative area. The administrative areas are simply provided to help you brainstorm.

Prioritized Risks	How might you mitigate these risks as part of your <i>planning and funding</i> process?	How might you mitigate these risks as part of your <i>subgrantee monitoring</i> process?	How might you mitigate these risks as part of your <i>reporting and evaluation</i> activities?
<p>Example: Statewide RIF of tenured instructional staff to address forecasted budget shortfalls</p>	<ul style="list-style-type: none"> • Offer LEAs a discretionary grant program to develop an in-service instructional coaching program to support new teachers as they enter the JJ workforce • Promote IWPs in a webinar as a way to strengthen the capacity of facilities to better support the onboarding of new, inexperienced teachers 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> •

Prioritized Risks	How might you mitigate these risks as part of your <i>planning and funding</i> process?	How might you mitigate these risks as part of your <i>subgrantee monitoring</i> process?	How might you mitigate these risks as part of your <i>reporting and evaluation</i> activities?
1. Poor formula funding model → Inequitable allocation of TIPD funds → Federal monitoring finding (Indicator 3.2)	Build guidance on identifying and serving students with greatest need into applications such as a needs assessment template	Review program effectiveness data and provide guidance on conducting program evaluations and reporting every 3 years as part of your desk monitoring process	
2.			
3.			