



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

TO: The Honorable the Members of the Board of Regents

FROM: Valerie Grey

SUBJECT: State Education Department's Strategic Vision
(Other Than P-12)

DATE: November 8, 2010

AUTHORIZATION(S):

Summary

Issue for Discussion

Update on the New York State Education Department's Strategic Vision for the Office of Higher Education, Office of the Professions, Office of Cultural Education, Office of Adult Education and Workforce Development, and Office of Management Services.

Proposed Handling

This item will come before the relevant committees for discussion at the November 2010 meeting.

Background Information

The Regents discussed the State Education Department's P-12 Strategic Vision at the October 2010 meeting. This month each relevant committee will discuss the State Education Department's Strategic Vision (Other Than P-12) document which includes priorities for 2010-11, challenges and risks and recent accomplishments.

Recommendation

It is recommended that the Regents endorse the Departments Strategic Plan for these offices.

**State Education Department
Strategic Goals and Challenges
November 2010**

Office of Higher Education

Goal 1: Implement the Regents policy for strengthening teacher and school leadership

Priorities for 2010-11:

- Regulations to restructure special education certification – October 2010
- Regulations to permit collegiate STEM faculty to teach in P-12 schools – December 2010
- Issue RFP for teacher (graduate and undergraduate) and principal preparation pilot programs – November and December 2010
- Teaching Standards reviewed and revised – December 2010
- Aligning teacher certification and tenure – December 2010
- Continue to provide technical assistance to candidates seeking teacher certification and issue teaching certificates as warranted - ongoing
- Issue RFP for the RTTT induction program – January 2011
- Streamlining moral character hearings – Part 83 – March 2011
- Regulations to implement Transfer Funds – March 2011
- Portfolio assessment for teachers – field test portfolio – May 2011
- Teacher Performance Evaluation System consistent with Chapter 103 of the Laws of 2010 – June 2011
- Principal Performance Evaluation System consistent with Chapter 103 of the Laws of 2010 – June 2011
- Regulations to implement Innovative Supplemental Compensation Fund – June 2011

Challenges and Risks:

- Staffing issues
- Timelines are very aggressive and contingent upon other pieces falling into place (i.e., Task Force on Teacher and Principal Effectiveness, Center for Assessment)
- Consensus building with educational community
- The systems we rely on to make the changes may not be able to implement as quickly as needed

Accomplishments :

- Developed successful Section D of the RTTT application
- Amendments to Commissioner's Regulations to authorize clinically rich teacher preparation graduate programs
 - Amendments to the Commissioner's Regulations to require that the Annual Professional Performance Review of teachers used four standard rating categories and incorporated student growth as one of the mandatory rating criteria
 - Successful Teacher Incentive Fund grant award
 - Regents adopted regulations to provide additional teacher certification flexibility for school districts in fiscal crisis
- Enacted changes to restructure adolescence level teacher certification for students with disabilities titles to ensure an adequate supply of teachers and that they are appropriately qualified to teach to the State's learning standards.

Goal 2: Provide oversight and leadership on all higher education funded programs (e.g., Liberty Partnership Program, STEP/CSTEP, HEOP, Smart Scholars Program, all scholarship programs, Teachers of Tomorrow, Mentor-Teacher Internship Program, Troops to Teachers program and the Tuition Assistance Program

Priorities for 2010-11

- Timelines for STEP/CSTEP RFPs, grant awards met.
- Release RFP for second cohort of the Smart Scholars program by November 2010
- Develop a legislative proposal to allow eligible students to access TAP funds for the collegiate portion of an early college high school program. – November 2010
- Provide Regents with recommended changes to the Part 145 regulations related to TAP funding – new regulations in place by April 2011

Challenges and Risks:

- Same as above

Accomplishments:

- Worked with the Gates Foundation to secure a \$6 million grant to the University of the State of New York for the establishment of Smart Scholars programs in LEAs
- Adopted amendments to Section 145-2.2 of the Regulations of the Commissioner of Education relating to the new standards of academic progress for TAP for the 2010-2011 academic year. This amendment will ensure that students, through no fault of their own, who would otherwise not be eligible for TAP during the 2010-2011 academic year because of their inability to comply with the standards in the 2010 SAP, continue to be eligible for TAP.

Goal 3: Provide leadership over the Master Planning Process

Priorities for 2010-11:

- Provide Regents with a comprehensive review of the Regents Role in the coordination of Higher Education – October 2010
- Identify issues relating to the master planning process to inform Regents policy regarding the authorizations of out-of-state institutions to do business in New York State – November 2010
- Develop a legislative proposal to create Standards of Academic Progress for students (both non-remedial and remedial) for the purpose of ensuring eligibility to TAP funds – November 2010
- Begin discussion on Regents Statewide Plan for Higher Education 2012-2020 – November 2010
- Draft bulletin to the Regents on Statewide Plan for Higher Education – March 2011
- Action by the Regents on the Statewide Plan – May 2011
- Continue to provide service to the State's colleges and universities through program registration, master plan amendments and review and approval of new institutions, branch campuses and extension centers - ongoing

Challenges and Risks:

- Same as above

Accomplishments:

- Registered 560 new programs. Reviewed and approved seven master plan amendments; one new institution (Sotheby's); three new branch campuses; three new extension centers

Goal 4: Maintain and utilize the data collection capacity of the Office of Higher Education to inform Regents policy on higher education issues

Priorities for 2010-11;

- Work with the Office of P-12 on the implementation of the P-20 data system - ongoing
- Provide the Regents with an overview of the cost of attendance at higher education institutions in New York State – January 2011
- Continue to refine the teacher supply and demand analysis to provide more refined measures of shortages both by region and certificate area for the purpose of informing Regents policy on teaching initiatives – May 2011

Challenges and Risks:

- Same as above

Accomplishments:

- First phase of an online data collection and processing system for annual collection of data from every college has allowed the HEDS data collection to continue without any loss of important data or quality of data despite losses in staffing
- A Datamart was established to integrate data from the many different databases maintained in OHE
 - Web-based reports that draw directly from up-to-date databases are available directly to SED and public users of the data

Goal 5: School Personnel: Ensure a safe environment for all school children.

Priorities for 2010-11:

- Review criminal histories of all new school employees to screen out any individual who poses a potential threat to students – ongoing
- Take action against any certified educator or applicant who does not possess the moral character necessary to work in the schools - ongoing
- Develop a proposal that would stabilize the tenured teachers hearing program. This could include replacing the existing independent contractor arbitrators that currently decide Education Law 3020-a proceedings between school districts and tenured educators with state salaried hearing officers or change funding responsibilities to better align incentives for resolution.

Challenges and Risks:

- Since the funding appropriated for 3020-a proceedings does not match the actual costs, any recommended changes to cap costs or to place costs on parties, other than the State, may be met with resistance.

Accomplishments:

- Fingerprinting: Processed 56,133 new fingerprint applications and 8,575 NYC fingerprint applications. Issued 91,370 Clearances; analyzed 5,540 criminal histories and processed 5,690 new arrests. Denied 398 individuals clearance to work in a school
- Teacher Tenure: Opened 326 new cases and processed approximately \$5.5 million vouchers
- Discipline: Handled 4,994 complaints and took the following adverse actions against individuals: revoked 23; surrendered 57; suspended 2 and denied 12. The total number of individuals with adverse outcomes was 94

Office of Adult Education and Workforce Development

Goal 1: Achieve a real integration of vision, policy and practice while improving program quality across the adult education and workforce development offices that are being brought together for the first time.

Priorities for 2010-11:

- Maximize available resources across programs to avoid duplication of efforts while sustaining the unique characteristics, priorities and obligations of each unit.
- Enhance the distribution of Employment Preparation and Education funds so that it motivates adult education providers to strive for increased performance and outcomes.
- Increase successful job placements and the average hourly wages earned by consumers after receiving VESID services and avoid Order of Selection due to loss of Vocational Rehabilitation (VR) staff.
- Have the Legislature pass significantly revised Sections 5001-5010 of the Education Law, which will align Bureau of Proprietary School Supervision oversight with the rapidly changing industry.
- Increase the number of students being adequately prepared for and passing the GED.
- Integrate independent living center services, where applicable, within Adult Education, Vocational Rehabilitation and Workforce Development programming.
- Issuing a RFP for a BPSS web-based computer build (waiting for DOB approval) that will improve our ability to service our customer and protect our students.

Challenges and Risks:

- Staff may feel they are losing their offices' individual integrity and focus.
- Loss of staff could diminish our capacity to ensure program compliance and provide technical assistance to improve program quality as well as reduce the numbers of students and consumers that can be served.
- VR caseloads that grow to the extent that consumers cannot be served in a timely manner could result in the adoption of an Order of Selection that will result in the denial of services to many eligible consumers with disabilities.
- To achieve acceptance of peer driven programming as a unique service model and increase utilization of those services.

Accomplishments:

- Maximized available resources across programs to avoid duplication of efforts by:
 - Monitoring budgets closely to share resources, wherever possible, to avoid duplication.
 - increasing communication between BPSS and VESID/VR to safeguard the VESID consumer in proprietary schools.
 - Increasing communication BPSS information with other state and federal agencies in an attempt to avoid duplication of efforts and to maximize resources.
- Secured funds to build GED Compass, a web based GED test information and site registration tool for students. GED Compass will be piloted in NYC and rolled out in the rest of the state in 2011.
- Integrated independent living center services, where applicable, within AEWD programming by:
 - Coordinating with the rollout and development of the Literacy Zone initiative including making referrals to adult education services and GED preparation/testing.
 - Redesigning the VR Unified Contract Services (UCS) to includes critical services that can be provided by peer driven ILCs and promote increased utilization ILC support services as part of VR district office operations.
 - Representing and communicating the value of independent living services and ILCs, including the Medicaid Infrastructure Grant (MIG) and VESID's employment committee of the Most Integrated Setting Coordinating Council (MISCC), with intra and interagency partners involved in advancing employment for people with disabilities.

Goal 2: Maintain the fiscal integrity of all AEWD programs

Priorities for 2010-11:

- Avoid Order of Selection for the VR program by ensuring program expenditures do not exceed budget limitations.
- Maintain the capacity of GED testing centers while decreasing costs through more efficient scheduling across sites.
- Manage contracts efficiently to ensure timely payment of vendors and no gaps in service provision.
- Maintain the capacity of independent living centers to provide core services and supports to advance Adult Education, VR and Workforce Development programming.

Challenges and Risks:

- Decreases or lack of growth in State and federal funds threaten the maintenance of current levels of programs and services.

Accomplishments:

- Avoided Order of Selection for the VR program by:
 - Securing reallocated federal VR funds of \$27 million.
 - Securing approval to hire 18 additional, federally funded Vocational Rehabilitation Counselors in VR District Offices with the highest average caseload size. In addition, approval was granted to hire 3 counselors through the 55B process. Additional counselors will need to be hired.
 - Assigning each VESID District Office was assigned a budget for case service spending (excluding Extended Services to groups, and special

- Establishing parameters for the provision of UCS and SE services that will insure more cost-effective use of VR funds.
- Monitoring contracts by both District and Central Office staff assuring that services are provided in a cost-effective manner while also incorporating consumer choice and State Comptroller's Office requirements.
- Managed contracts efficiently to ensure timely payment by:
 - Developing a comprehensive catalog of all existing AEPP and GED contracts / grants / potential procurements.
 - Developing VR budgets by district office for consumer spending for the current FFY.
 - Establishing VR contracts which include key performance indicators for the provision of supported employment (SE) and Unified Contract Services (UCS). A pilot program of electronic reporting for UCS services is being implemented. Initial results show that this will be a successful method for vendors to report and track services provided to consumers by vendor and district office.
 - Initiating an Interpreter Referral Request for Proposal that resulted in 19 different vendors providing bids for services including a contract to conduct video remote interpreting.
 - Participating in federal Proprietary School federal negotiated rulemaking on the federal level, particularly as it relates to the concept of "gainful employment," a policy which could negatively effect this sector.
 - Developing a statewide Performance Based Formula (PBF) approach for the distribution of EPE funding to ensure proper distribution of funds by regional need and local performance increases.
- Maintained the capacity of independent living centers to provide core services and supports by:
 - Dedicating staff to better track and communicate payments to Independent Living Center network.

Office of the Professions

Goal 1: Maintain and re-establish Office of the Professions capacity to successfully discharge licensing, registration, professional education reviews, professional conduct, professional practice clarification and interpretation, and customer service.

Priorities for 2010-11:

- Demonstrate improvements in registration processing cycle times of at least 10% by April 1, 2011; for licensing, the challenge is to maintain existing cycle times
- Provide at least 100 additional accessible professional practice and professional education guidance FAQs by April 1, 2011
- Efficiently implement new statutory requirements
- Conduct a web-based customer satisfaction survey by March 2011
- OP will achieve 75% compliance with customer use of On-Line Registration for licensees by April 1, 2011
- 80% of all licensure applicant files needing individual evaluation will be initially reviewed within two weeks of receipt
- Program proposals from colleges for changes to existing programs will be initially reviewed within 30 days and for new programs within 60 days
- Provide technical expertise critical to the passage of legislation to authorize the Department

- Timely implement major revisions of the social work and mental health licensure laws, including convening SED facilitated working group of impacted state agencies with report due by July 1, 2011 and adopting regulations to update mental health and social work licensure by December 2010.
- Collaboratively address controversial and wide-ranging issues; a key example is the controversy surrounding the growth and impact of international medical school graduates, which needs to be addressed through a study group convened by OP
- Review and prepare for chartering by the Board of Regents at least 30 Psychoanalytic/Psychotherapy Institutes when due for renewal

Challenges and Risks:

- Can only be accomplished with adequate staffing.
- Cannot be done efficiently within desired timeframes without upgraded technology/requires Executive and OSC approval
- Professional Associations and Legislators who supported OP's fee increase have an expectation of improved customer service that we will not be able to meet without improved levels of staffing and enhanced technology; Customer Service unit in Division of Professional Licensing, responsible for coordinating responses to over 200,000 customer inquiries (of the over 1.1 million phone calls and emails received by OP offices, including Board Offices and other DPLS units) has been severely limited, from a staff of 12 to 3
- Technical support needs to be provided in a timely and effective manner to the legislature on 450 bills annually in order to ensure consideration of OP's expertise and perspective as bills are considered
- Professional conduct cycle times may be adversely affected by the relocation of the NYC OPD office (475 Park Avenue South). Line staff time and effort will have to be devoted to relocation efforts in order to keep these efforts within our move budget.

Accomplishments:

- With the support of the professional associations, secured passage of legislation that increases fees for licensure and registration by 15% (effective September 2009)
- Issued more than 44,000 new licenses (all data below calendar year 2009 unless otherwise noted)
- Processed approximately 250,000 registrations for individuals and corporations
- Processed 260 NYS and 240 out-of-state registrations for pharmacies, manufacturers, repackers, and wholesalers; renewed 2,000 pharmacy registrations
- Conducted approximately 8,000 discipline investigations
- Resolved, through the discipline process, close to 800 cases of professional misconduct
- Responded to over 1,000,000 emails/telephone inquiries, including requests for guidance on complex matters of professional practice
- Developed Regulations, reviewed continuing education providers, and audited for continuing education compliance

- Provided guidance to Legislators and staff on more than 400 proposed bills, including numerous critical issues and proposals for new professions
- Achieved an average of 55% participation rate, with a high of 96%, in customer use of on-line registration for licensees (as of October 1, 2010)
- Developed a database to track restoration cases (ongoing)
- Reviewed and processed more than 100 applications for providers of coursework in child abuse identification and in infection control
- Prepared 225 individual licensing petitions for action by the Board of Regents and 150 licensing petitions for action by the Committee on the Professions
- Conducted approximately 14,000 individual reviews of education credentials for licensure applicants, primarily for education in foreign countries
- Conducted 15 site visits to nursing programs and 10 site visits to other programs to assess their compliance to Commissioner's Regulations
- Conducted 350 reviews of proposals submitted by colleges for registration of programs in or related to the 48 licensed professions

Goal 2: Continue Regents Professions' focus on public protection through a vital and effective system of professional regulation. Improve cycle times for resolution of misconduct cases and enhance existing capacity in order to implement the newly expanded CPA law and the Illegal Practice statute. Encourage voluntary compliance with competent practice by developing, updating, and disseminating best practice guidelines/FAQ's and clarifying ambiguous practice requirements and relationships among and between the professions.

Priorities for 2010-11:

- By December 31, 2010, regulations implementing the mandatory quality review provisions of the new public accountancy law will be presented to the Regents for adoption. By April 1, 2011, the CPA unit in the Office of Professional Discipline will increase by 10% the number of cases investigated for improper accounting practices.
- Implement Illegal Practice statute by adding three staff members in the Office of Professional Discipline who are dedicated exclusively to the investigation and prosecution of illegal practice complaints to insure 100% of the complaints of unauthorized and illegal practice are addressed.
- Increase by 10% the number of investigations completed within six months (currently 70%) by April 1, 2011
- Reduce the number of cases over 30 months old by 25%
- Reduce cycle time in Legal Services proceedings: hearing panel reports will be drafted within 60 days of the later of the panel reaching a decision or receipt of transcript except in extraordinary circumstances, Regents Review cases will be processed for the next full Board of Regents meeting deadline, and Votes and orders will be ready by day of the Board of Regents action, except those that have to be modified ready within 3 days of that action
- Each state board will convene at least once by April 1, 2011 to identify or discuss no less than 3 best-practices in the profession and share any new or revised practice guidance with the field.
- Implement provisions of 2010 law to allow non-profit entities to register with the Department to overcome the corporate practice prohibitions and allow continued service to the public under regulations approved by Board of

- Continue collaboration with Executive Agencies to identify exempt workforce in State operated, approved, regulated and funded programs to develop recommendations regarding licensure and exemption after July 1, 2013.
- By November 2010 begin review and discussion to develop regulations by June 2011 to implement the new continuing education requirements for the profession of massage therapy.
- By October 2010, begin review and discussion to develop regulations by December 2010 to implement the new continuing education requirements for the professions of veterinary medicine and veterinary technology

Challenges and Risks:

- Current staffing shortages exist in the Office of Professional Discipline board offices.
- Cannot be done efficiently within desired timeframes without upgraded technology/requires Executive and OSC approval
- State boards must meet and deliberate on licensing, conduct, and practice issues in order to best serve statutory role of advising the Regents on entry to and practice of the professions/requires authority to expend OP Revenue Account funds for necessary OP functions
- Professional Associations and Legislators who supported OP's fee increase have an expectation of public protection and efficient regulation that will not be possible without improved levels of staffing and enhanced technology
- Professional conduct cycle times may be adversely affected by the relocation of the NYC OPD office (475 Park Avenue South). Line staff time and effort will have to be devoted to relocation efforts in order to keep these efforts within our move budget.

Accomplishments:

- CPA Implementation - Adopted regulations to implement new requirements in law (July/December 2009). Regents discussion of proposed regulations to implement mandatory quality review is scheduled for November 2010 with possible Regents action adopting the proposed regulations in December 2010.
- Secured passage of legislation to address unforeseen consequences of the Social Work/Mental Health Practitioner/Psychology licensure laws (June 2010) Began implementation of provisions of the new law to allow non-profit entities to register with the Department to overcome the corporate practice prohibitions and allow continued service to the public. Worked collaboratively with Executive Agencies whose workforce is exempt from licensure until 2013 to define terms in order to collect needed data and make recommendations to the Legislature (October 2010).
- Implemented new Continuing Education requirements for Physical Therapists and Physical Therapy Assistants (September 2009)
- Implemented and continuously expanded a Frequently Asked Questions Knowledge Base for OP Practice Guidelines. This system allows licensees and customers to ask questions and receive answers online 24/7, averaging 20,000 self-service FAQs per month that do not require handling by staff

Goal 3: Improve Customer Service and work accuracy and efficiency through continued efforts to implement the E-Licensing solution, Document Management System and associated electronic documents.

Priorities for 2010-11:

- Review and approve the RFP for the E-Licensing project by October 2010 and execute the contract with the vendor April 2011
- Develop a statement of work for a document management system by November 2010 and begin implementation by April 2011
- 75% of the educational documents collected by the approved external agencies will be sent, stored, and reviewed by staff in electronic format.
- These steps will result in: 1) improved cycle time for issuing a professional license and efficiency in all records processing (a minimum of 3 weeks of mailing, sorting, and other delays will be cut from the process); 2) elimination of errors in customer submissions by use of self-checking forms; 3) instant electronic tracking of submissions by customers which will eliminate 50% of all customer phone inquiries and complaints; 4) improved database searching and reporting, including easy identification of long-term applicants, exam candidates, and aging Discipline cases; 5) available electronic transactions for customers 24/7 instead of 9-5; and 6) reduction in paper by 80% with associated savings in storage as well as added efficiency related to document retrieval and sharing.

Challenges and Risks:

- Can only be accomplished with adequate staffing.
- Multi-agency E-Licensing solution is managed by OFT and Executive and dependent on other participating agencies,
- Document Management System dependent upon Executive and OSC approvals

Accomplishments:

- Completed a project proposal to overhaul our outdated computer system and worked collaboratively with NYS Office for Technology, which asked NYSED to expand our scope to lead other licensing agencies in the development of a multi-agency E-Licensing project
- Submitted purchase orders for additional computer equipment and software to begin implementation for electronic data management.

Goal 4: A) Contribute expertise and perspective to the Office of P-12 Education and the Office of Adult Education and Workforce Development (OAEWD). B) Develop and help to integrate Planting the Seed initiative into the P-12 Strategic Plan.

Priorities for 2010-11:

- Quarterly meetings w/OAEWD will be held to discuss existing curricula for adult career and technical education programs and P-12 career oriented programs that lead to careers that do not require licensure to ensure public protection by clarifying activities that may be performed by an unlicensed person
- OP will develop and share with OAEWD and P-12 information regarding those professions not requiring a college degree or equivalent mandated professional education and will provide expertise regarding potential programs and approaches from the professions that can inform the strategic plan of OAEWD.

Challenges and Risks:

- Planting the Seed initiative has been designed and shared with P-12 with methods, organizational structure, and outreach concepts. However, the priority cannot be continued or developed because of the “triage” status of OP State board staffing; the effort was led by the Executive Secretary for Architecture, whose board is at 50% staffing with strong increases in complex licensure applications requiring involved experience reviews.
- Activities will be included as part of orientation for new Deputy for AEWD

Accomplishments:

- Shared Planting the Seed information and professional associates contacts with SED’s Literacy Zones and Department of Labor’s Career Zones (August/September 2010)
- Participated in career days at regional middle schools to share information about the licensed professions (Spring 2009 & 2010)
- Two professional staff from Professional Education were team members in the review of applications for proposed charter schools, thereby assisting with Race to the Top

Office of Cultural Education

Goal 1: Stabilize the financial condition of the programs of the office of cultural education to ensure consistent and positive program delivery

Priorities for 2010-11:

- Develop a plan that can raise private funds to support OCE programs and develop an advocacy program to seek support from customers and legislative leaders
- Identify new revenue sources and expand existing revenue sources for appropriate services and programs provided by OCE.
- Review and update OCE’s statement of collection storage requirements and collections storage plan and identify approaches to meeting collection storage needs for the next five years within the current facilities and fiscal resource context.
- Develop and begin implementation of a plan to reduce and eventually eliminate the use of leased space for the storage of inactive records that are transferred to the State Records Center.
- Evaluate and develop a monitoring program to ensure that Federal Library Services Technology Act (LSTA) funds are aligned to OCE program priorities and expended within the boundaries of the approved LSTA plan.
- Develop an implementable and realistic contingency plan for the programs of the Office of Cultural Education that assumes significant reductions in staffing

<p>Challenges and Risks:</p> <ul style="list-style-type: none"> • If the private fundraising plan includes legislative changes, support from the legislature will be necessary • Limitations on the flexibility of federal funds • Increasing revenues in other sources will have only limited impact • Greatest challenge is diversifying the sources of our support and making them reliable and consistent
<p>Accomplishments:</p> <ul style="list-style-type: none"> • \$16 million in federal, private and state funds for matching projects to improve high-speed broadband connectivity for public libraries and new public access hardware and software in public library facilities • 19 grants totaling \$10,970,000.00 to support research in the museum.

<p>Goal 2: Enhance the delivery of services and programs to OCE's USNY Partners</p>
<p>Priorities for 2010-11:</p> <ul style="list-style-type: none"> • Reorganize the chartering function for Museums, Libraries and Historical Societies to decentralize and integrate field activities and focus efforts on the provision of support and assistance for those institutions. • Eliminate the current backlog of absolute and provisional charter petitions. • Prepare a plan to implement a comprehensive records management program for SED that set places the management of digital materials and information integration as a priority. • Conduct an assessment of field services and begin development of a plan that orients field activities to customer support rather than regulation.
<p>Challenges and Risks:</p> <ul style="list-style-type: none"> • Changing the culture in OCE • Changing the institutional culture of the three institutions • Ensuring that the expectations of the field are understood and met.
<p>Accomplishments:</p> <ul style="list-style-type: none"> • 1116 grants for a total of \$91,602,262 awarded to Local Governments, Libraries and Library Systems. • 173 public library construction and renovation projects grants for a total of \$14 million in capital grants awarded to public libraries. • 123,564 cubic feet of State government records scheduled. • 5,600 libraries are now registered for NOVELNY. • 39 million searches of NOVELNY electronic resources. • 232 workshops attended by 3,600 individuals. • 2014 field visits to local governments, libraries and library systems. • \$11 million in federal Erate discounts for libraries. • 136 Regents charter actions approved.

<p>Goal 3: Orient and focus all OCE programs to achieve shared goals and priorities through closer integration, cooperation and communication.</p>
<p>Priorities for 2010-11 :</p> <ul style="list-style-type: none"> • Lead a strategic planning effort and complete an OCE-wide strategic plan that identifies organization-wide goals and aligns activities and actions in support of those goals.

- Develop and begin to implement an organizational and financial plan that supports strategic priorities.
- Complete performance management plans for all direct reports that align to and support strategic priorities.

Challenges and Risks:

- Gaining acceptance and support from the leaders

Accomplishments:

- Began a strategic planning effort within OCE.
- State Archives and State Library public services opened on Saturdays starting October 16.
- Chartering function for Museums and Historical Societies integrated across State Archives, Museum and Library.

Goal 4: Improve services and support to P-12 students, teachers and administrators to improve student achievement through increased access to the arts, cultural heritage assets and scientific research.

Priorities for 2010-11:

- Explore options to integrate the Summer School for the Arts as an OCE program.
- Increase awareness of the value of and support for School Library Media Specialists in elementary and middle schools through direct outreach to school leaders and teachers. Develop and implement an advocacy and education program to reach school leaders and teachers.
- Increase teacher use of the State Museum, including “virtual use”, as an educational setting. Increase participation in teacher professional development programs by 10 percent. Increase participation by teachers outside of the capital region by 30%.
- Actively support programs that advance Information Literacy within the context of the Statewide Learning Technology Plan and provide resources and professional development tools to support implementation of foundational change elements of the plan. Ensure that current programs that advance broadband adoption in public libraries statewide support information literacy as defined in the plan.
- Explore a pilot electronic textbook pilot project, using the NovelNY platform, with an outside vendor and at least one school district
- Expand the role of Public Television in early childhood education through expanded participation in external organizations, active participation in SED activities and increased advocacy to the public broadcasting community. Ensure OCE participation in the Celebration of Teaching and Learning.
- Expand participation in the statewide summer reading program to include a broader spectrum of cultural institutions and increased partnerships between libraries and local schools. Increase the number of non-library cultural institutions by fifteen percent and the number of library/non-library collaborations by 25 percent.
- Begin a program to measure the impact of the statewide summer reading program on post-summer student reading to determine the extent to which the statewide summer reading program impacts reading readiness during the school year and to support identification of strategies to increase the value of the statewide summer reading program to have greater impact on reading

Challenges and Risks:

- Demonstrating the value of OCE program relationship to P-12 and aligning programs to maximize this value.

Accomplishments:

- 23,235 Interlibrary loan requests filled.
- 421,386 audio books and Braille books loaned .
- 1.5 million participants in Summer Reading at New York Libraries in Summer 2010.
- 4,070 onsite researcher visits to State Archives.
- 719,000 museum visitors.
- 34,000 students visited the museum.
- 23,492 research requests to State Archives
- 6,667 reference requests to State Library .
- 3,459 cubic feet of State government archival records transferred to State Archives.
- 156,330 pages of current and historic materials digitized and made available.
- Online catalog of Library and Archives upgraded.
- 40-50 individuals participated in Museum After School program (with 100% of participants graduating from high school).
- 175 public programs with attendance of 16,000 individuals.
- 45 Museum collections accessioned .
- 11 new exhibits opened.

Office of Operations and Management Services

Goal 1: Provide expert policy advice, information, and recommendations to all parties involved in determining how State Aid and Federal Aid are to be distributed to schools and distribute aid to school districts and BOCES timely and accurately and ensure timely data for use in aid projections.

Priorities for 2010-11:

- Ensure the State Fiscal Stabilization Funds (SFSF) and Education Job Funds are distributed properly.
- Design, advocate and implement a Regents State Aid proposal that restores State Aid to Schools to an equitable, sustainable, adequacy-based allocation methodology that supports the Regents priorities.
- Complete Phase II of State Aid Management System (SAMS) with full implementation of BOCES Aid module. Start Phase 3 with Building Aid and Payment modules.

Challenges and Risks:

- Staffing reductions.

Accomplishments:

- BOCES CoSer module implemented in spring 2010; BOCES financial module implemented in August 2010. Design of Building Aid module started summer 2010.
- Provide technical assistance to LEAs to ensure full and appropriate use of the ARRA, ESF and Education Jobs funds as well as other ARRA funds prior to their lapse. Continue to make accurate and timely payments to LEAs for both 2009-10 and 2010-11 federal grant programs.

Goal 2: Ensure stewardship of the Department's budget

Priorities for 2010-11:

- Regularly monitor the Department's budget and spending and identify accounts to identify variances/deficits and work with program areas on solutions.

Challenges and Risks:

- Staffing reductions.

Accomplishments:

- The Department will achieve current and future budget cuts in a manner that minimizes the impact on the Department's core mission functions, employees and the public it serves.
- Implemented an SED plan to comply with the DOB issued FMAP reductions.

Goal 3: Ensure our customers, including Department Program Offices and staff, receive timely and accurate human resources and fiscal services; which includes the processing of employee paychecks, human resources benefits, processing of payments to vendors, timely RFPs and contracts, and payments to local agencies. Promote the best use of the Department's resources in compliance with governing statutes and regulations.

Priorities for 2010-11:

- The Department is embarking on an internal group to launch the RTTT implementation . This team will ensure the timelines of the staffing and the RFP/contracting needs are met until the RTTT project team is put in place.
- With the current ARRA funds and the possibility of future funds from both federal agencies and private grantors, OMS must work with the programs areas to ensure the goals of the grant are met and that all funds are expended within all federal and state rules and regulations, assist with all aspects of spending the grants funds including RFP and contract development, payments to vendors and schools, and staffing needs.
- Maintain a timely flow of grant payments to local agencies.
- Ensure the Department's financial and human resources tracking and reporting systems are reliable while the State transitions to a new Statewide Financial System (SFS).
- Create appropriate positions for RTTT. Recruit and hire required staff in a timely manner.
- Ensure the continuation of timely accurate paychecks and benefits for all staff.
- Ensure that all positions are appropriately classified and compensated in accordance with Civil Service law.

Challenges and Risks:

- Staffing reductions.
- Race to the Top (RTTT) funding and related procurement requirements will present a significant increase in grant and contract processing. Providing program support for RTTT while maintaining service for non RTTT priority procurements will be challenging.
- Maintaining a timely flow of grant payments with the increase workload due to ARRA funds and additional processing related to the budget.
- The State of New York is developing a new electronic statewide financial system which is due to be released in April 2011 and the Department must continue to prepare and transition. This effort will require the cooperation of staff from many program offices as well as several State control agencies. The timeline is short and the task is complex.

Accomplishments:

- Online system to collect and monitor ARRA funds implemented for tracking of all ARRA grant programs.

- SFS project team implemented to assure Department financial systems are prepared for April 2011 implementation of first modules; PMO and IT staff assigned to align Department systems to SFS.
- Online system implemented to collect LEA Statement of Work assurances for RTTT.
- Continue to process grant, contract and vendor payments in a timely manner.
- RTTT launch team has been formed and initial RFP and contract processing training has been completed.
- Provide timely technical assistance and process improvements for both program offices and LEA's with respect to lessons learned from Department and district audits and reviews.
- Created a Department project team to implement the state's new financial system (SFS). Project goals, objectives and requirements are communicated to project and steering committee representatives. IT and business process changes are ongoing with a goal of providing minimal impact to Department or external customers.
- RTTT positions were established and recruitment initiated to meet the start of RTTT. Effective use of the flexibility in the system to minimize the impact of the budget on staff.

Goal 4: Provide quality internal and external audit and related financial services for Department leadership and staff to enhance accountability.

- Priorities for 2010-11:
- Substantially complete the audits as outlined in the audit plan, with particular emphasis on the ARRA audits.

- Challenges and Risks:
- Meeting the needs of the Department while resources are being reduced

- Accomplishments:
- Will have issued 15 audits from the two year audit plan. The audits include school district use of ARRA funds, internal audits of Department operations, reliability of student data and charter schools. OAS staff also participated in review of Department assessment costs.
 - Issued 10 Preschool Special Education audits under section 4410 of education law.
 - Will have reviewed approximately 900 financial statements, issued letters to school districts identifying fiscal stress and concern. Issued letters requested additional information.
 - Reviewed 750 single audit reports for entities receiving more than \$500,000 in federal funds. Updated the "Management Decision Database" to capture all findings. Issued Department determinations on all findings. Sent the database to key federal program grant managers so they are aware of all findings.
 - Reviewed financial statements of 125 private college and universities, calculated the financial strength ratio and provided the Office of Higher Education with an analysis of institutions with weak financial conditions.
 - Reviewed financial information on 150 proprietary provided the Bureau of Proprietary School Supervision with analysis.
 - Reviewed 250 contacts received through the Department's Fraud Waste and Abuse hotline and took action as required.

- Continue to audit Department wide functions as requested.

Goal 5: Bring high quality data, decision support solutions and advanced technology services to employees and customers of the Department with attention to detail and efficiency of shared solutions. Implement project management practices across the Department to assure delivery of our technology projects on-time and on-budget. Identify and coordinate all data collected by the Department, for internal and external customers, and provide it in easily accessible form and strengthen local school districts' capacity to use data to improve instruction.

Priorities for 2010-11:

- Create and communicate a clearly prioritized technology portfolio of projects.
- Complete Phase II of State Aid Management System (SAMS) with full implementation of BOCES Aid module. Start Phase 3 with Building Aid and Payment modules.
- Continue expansion of K-12 data system into a P-20 data system that meets accountability, policy, and instructional support needs of the Regents reform agenda and the goals of Race to the Top.
- Reduce the data and information collection burden on schools, including integration, where appropriate, of the State Aid Management System and the P-20 data system.
- Assist in use of web-based instructional systems to provide online education.
- Initiate in sourcing of student and school reporting for improved flexibility.
- Initiate automation of professional licensing for improved customer service.

Challenges and Risks:

- Meeting the needs of the Department while resources are being reduced. ITS will have to set priorities in order to fulfill all the needs of the program areas.

Accomplishments:

- Draft list of technology priorities, along with new governance proposal for determining technology project prioritization, shared with COO.
- BOCES CoSer module implemented in spring 2010; BOCES financial module implemented in August 2010. Design of Building Aid module started summer 2010.
- Longitudinal Data System team created, work begun on procurements for additional P-20 data system modules required under RTTT.
- New online system for tracking LEA data/information reports designed and built, to be released before end of calendar year.
- IRS Portal implemented to provide School District secure access to assessment information.
- New HedsLive system released to help automate collection of higher education data from colleges and universities via the web.
- System implemented to automate Archives Local Government Records Management Improvement grants providing on-line submission, evaluation and awards.

Goal 6: Issue decisions in response to Special Education appeals filed pursuant to the Individuals with Disabilities Education Act and Education Law.

Priorities for 2010-11:

- Ensure timeliness and consistency with the requirements of the federal and state laws.

Challenges and Risks:

<ul style="list-style-type: none"> • Meeting the statutory timelines as the caseload increases.
<p>Accomplishments:</p> <ul style="list-style-type: none"> • One hundred percent of decisions issued on a timely basis. • Continue to ensure that written decisions are thorough, careful and rendered in conformance with professional standards.

<p>Goal 7: Manage and support efficient, cost effective oversight of leases and real property; telecommunication and office services, and provide quality and timely printing and distribution of standardized examinations.</p>
<p>Priorities for 2010-11:</p> <ul style="list-style-type: none"> • Complete essential Capital projects to maintain our physical assets and provide a safe and secure work environment. • Print and ship all Regents and NCLB exams according to schedule and in a cost-effective manner.
<p>Challenges and Risks:</p> <ul style="list-style-type: none"> • Without the use of overtime for the print shop and test distribution units, ensuring the exams are delivered on time is a challenge. Will work closely with the Office of State Assessment in ways to improve delivery and accuracy of exam counts to best utilize the most cost-effective methods of ordering and scheduling staff work.
<p>Accomplishments:</p> <ul style="list-style-type: none"> • We have completed 11 Minor Rehabilitation Capital Projects since funding approval in July at a cost of \$100,000 and are currently in the process of working on another 21 projects valued at \$900,000. • Major Capital Projects including rehabbing CEC bathrooms, upgrading CEC security system, providing a 2nd means of egress from the CEC 4th floor terrace and asbestos abatement in the EB basement are in process and close to construction start dates. • Working with Assessment on ways to improve the timeliness of receiving print jobs for exams in order to meet test schedules. Next meeting is scheduled for November 11.