

E-Certification, JC

Agency: 350 Office of Superintendent of Public Instruction
Budget Period: 2009-11

Recommendation Summary Text (Short Description):

Superintendent Dorn requests \$1,651,380 to develop and implement an online educator certification system by December 31, 2011. The online system will result in: 1) Efficient collection of educator data including professional development credits that are not in a paper application or survey 2) connection of teacher data with other databases to start analysis models of teacher effectiveness. 3) a reduction in the processing time for educator certificates; 4) an easier process for educators to pay and submit documents required for a certificate; and 5) a reduction in the number of emergency, temporary permits currently issued because of the processing backlog. This request also includes funds to replace the current outmoded microfiche archival system with a document imaging system.

Fiscal Detail

Operating Expenditures		FY 2010	FY 2011	Total
General Fund – State	001-01	\$0	\$1,651,380	\$1,651,380
Total Cost		\$0	\$1,651,380	\$1,651,380

Staffing	FY 2010	FY 2011	Annual Avg.
Total FTEs Requested	0	2.25	1.125

Package Description

Background

The certification system was migrated from the VAX/Alpha mainframe as part of OSPI rehosting work. In the course of that work OSPI also aggregated other educator databases to present to districts a complete picture of educator credentials. The rehosted certification process still requires the keying of all certificate data by OSPI staff but the database is on the modern SQL platform and easily available. This work allowed OSPI, PESB, and researchers to start analyzing the quality of the teaching workforce.

In a parallel effort the CEDARS student data collection system was brought online in August 2009. This enhanced student collection expands on OSPI's previous student data collections to include student schedules, the educator teaching that course, and phases in standardized course coding for curriculum comparisons.

These two systems together allow OSPI, PESB, and researchers to start forming connections between the demographics of a student, the qualifications of the educator giving instruction to that student, and to teachers certificates and endorsements.

The next step is to implement legislative requirements to collect data to measure teacher effectiveness. This requires the collection of additional data through the

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certification system for all professional development credits and clock hours. There are 2 ways to accomplish this.

1. Expand the certification system to log the additional data fields and hire staff to key that data

OR

2. Expand the certification system and create a secure teacher certification website where teachers can login and apply for teaching certificates, check status, and self report their professional development credits and clock hours and any additional data.

OSPI has compared the costs of option 1 vs. option 2 and the costs are essentially the same with option 2 offering many additional benefits.

Current situation

The current paper-based system for applying and processing teaching and other certificates (e.g., Administrator, Educational Staff Associates, Career and Technical Education) has not significantly changed since its inception. It involves manually keying in application information, physically moving applications from one desk to another, searching through multiple databases for applicant information (e.g., fingerprint record results), laboriously prepping, filming, microfiching the application and transcripts and stapling the microfiche to the applicant's file, and printing out the paper certificate and mailing the certificate to the applicant.

In addition, the number of educator certification actions has increased significantly, as well as the number of additional approvals they must obtain during the course of their career. This increase has been absorbed internally with no increase in staff, but has resulted in an increasingly large backlog and delay in processing time.

Year	Certificate Actions
2004	32,102
2005	37,307
	Change to WAC 181-79A-145
2006	34,755
2007	39,018
	Change to WAC 181-79A-145
2008	38,000
2009	40,000 (Est.)

It is anticipated that the number of certificate actions will increase further.

Because of the existing data entry backlog it is not feasible without the addition of staff to collect a complete set of educator professional development credits and clock hours.

The rehosting of the certification system made significant progress toward making certification data available to other systems and researchers. Additionally it aggregated

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silo'd databases into one central location and was built to be easily expandable to collect other data elements. Extending e-Cert to an online teacher certification website removes the FTE barriers in collecting additional data.

Proposed Solution

1. E-Certification

With \$897,000 of the funds requested, OSPI will create a web-based, centralized educator licensure/certification process and web site. The data system will document all state and federal legal requirements including requirement for NCLB, for licensing teachers, administrators and para-educators and include transcripts, fingerprint data, employment history, licenses and endorsements. Additionally educators can self report all professional development credits and clock hours. In short, teachers/staff will each have an online account where they can view their credentials, submit certification applications, report ongoing education and keep up-to-date on requirements. They will also have electronic reminders of recertification dates.

The purpose of this budget request is to create a self-serve teacher portal for online view of an educator profile and submission of certification. This includes:

- Online Certification applications submission
- Online Certification application status reporting
- Accept credit cards online for payment
- Email reminders of upcoming renewals
- Online data entry of professional development credits and clock hours
- Support data analysis activities by the PESB and OSPI on teacher preparation as it relates to student achievement.

Future plans, include:

- Link to the state's higher education data system for centralized transcript information
- Electronic transcript retrieval

2. Imaging of paper documents

The remaining \$755,000 of the funds requested is for the purchase of an imaging system for electronic filing and backup to replace the existing microfiche and paper filing processes. While the online certification will substantially reduce the number of paper documents in the long-term, OSPI will still have a need to store and retrieve paper documents since some applicants will continue to file their applications and related documents on paper. This will provide a fast online lookup system for researching requests. It also provides the inherent data recovery of an electronic system on a regular backup cycle.

Contact person

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Narrative Justification and Impact Statement

What specific performance outcomes does the agency expect?

OSPI expects a decrease in total processing time to an average of two weeks or less. In addition, staff will spend less time performing data entry and more time processing and researching applications for certificates.

OSPI expects to:

- collect data regarding ongoing education credits and clock hours at minimal cost.
- save on printing and mailing costs by delivering teaching certificates electronically.
- speed communication to educators through a comprehensive list of educator email addresses (obtained through this new system).

OSPI and PESB expect to:

- support research on teacher preparation as it relates to student achievements.
- save staff time answering call on certification processing status.

Performance Measure Detail

Is this decision package essential to implement a strategy identified in the agency's strategic plan?

This package is directly focused on Goal 1: High Achievement for All Students. Districts need accessible, accurate and timely certification data to hire educators who are prepared to help all students achieve.

Reason for change:

This budget request will support the development of a system that better meets the needs of Washington employers (public school districts and approved private schools), educators, and policymakers by:

- Offering a self-service 24/7 online educator portal;
- Providing a one-stop data source of applicant information including test scores and previous and ongoing certification information;
- Implementing an automatic message generator for expiration notification and other pertinent applicant information and action items;
- Providing first year teacher data for compliance of NCLB reporting;
- Significantly reducing printing and mailing costs and related hardware; and
- Substantially reducing the total processing time from application to the issuance of a teaching certificate from twelve weeks to an average of two weeks or less. This reduction will result in:
 - Virtually eliminating the emergency and temporary permit process created when certification backlogs exist;
 - Providing timely information to applicants, certificate holders and employers regarding the status of employee and applicant certificates thus reducing an employer's hiring decision timeframe from job offer to placement; and
 - Expediting the receipt and processing of certification fees.

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- Expanding the data collection of educator continuing education credits and clock hours
- Supporting data analysis and policy decisions of teacher preparations to student achievement

Does this decision package provide essential support to one of the Governor's priorities?

This decision package will strengthen government's ability to achieve results efficiently and effectively. The fast efficient lookup system will provide faster data retrieval and reporting of teacher data. In addition, this decision package will assist in improving student achievement in elementary, middle and high schools by providing accessible, accurate and timely certification data to hire educators who are prepared to help all students achieve. This package also leads to OSPI being able to implement Phase Four, an alignment of teacher and student data that will provide improved reporting correlating teaching and learning.

Does this decision package make key contributions to statewide results? Would it rate as a high priority in the Priorities of Government process?

This decision package improves the adequacy of tools to execute government functions.

What are the other important connections or impacts related to this proposal?

No Child Left Behind (NCLB) requires that states report certification information to determine whether teachers are highly qualified. This decision package will assist in this reporting requirement.

The Professional Educators Standards Board have made this decision package a priority for the 2010 Legislative Session.

Policymakers are very interested in aligning teacher and student data. In 2007, legislators mandated districts report student and teacher data beginning in the 2008-09 school year. Funding this decision package will assist districts in this mandate and decrease the cost of implementation.

Supporting data analysis and policy decisions of teacher preparations to student achievement

Finally, district knowledge of expirations of certificates and other important information relating to staff is a crucial risk management activity.

Impact on Clients and Services

There will be immediate and long lasting positive impact for teacher candidates using the system. Their applications will be processed efficiently and quickly without compromising the rigor of the review process. Educators will "take ownership" of their

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own records via user accounts. Updates and changes will be their responsibility and to their benefit.

School district employers will notice immediate efficiencies in processing time which will greatly enhance their ability to fill high demand positions and fill openings with their top candidates. This need will increase in the near term as math and science standards are increased resulting in the need for more teachers credentialed in these areas.

OSPI staff will be able to perform high level review and analysis work, rather than manual labor tasks related to filing, mailing and physically sorting documents. Sophisticated data requests and policy questions that are data driven will be able to be responded to in an efficient and effective manner.

This data when combined with CEDARS student data will allow for in-depth analysis of teacher preparation for the classes they teach. Further, it will connect teacher preparation with student achievement.

Impact on Other State Programs

Support of teachers, administrators and other education professionals affects all state programs that focus on improving schools and reducing the achievement gap.

What alternatives were explored by the agency, and why was this alternative chosen?

While certification requirements and policy nuances have been greatly expanded in 10 years, OSPI resources are static and a backlog is a serious concern. There is the expectation that paper based processes will all have to be internet-based in a very short time. There are no real alternatives to upgrading to an integrated data system.

With regard to collecting additional data for educator continuing education, OSPI has considered two alternatives:

1. Expand the certification system to log the additional data fields and hire staff to key that data or
2. Expand the certification system and create a secure teacher certification website where teachers can login and apply for teaching certificates, check status, and self report their professional development credits and clock hours and any additional data

OSPI feels option 2 is the most comprehensive and solves both the OSPI backlog issue and the expanded Data Collection issue.

What are the consequences of not funding this package?

Delays in processing certificates will continue to worsen and backlogs will increase. This inefficient certification process will further frustrate teachers, principals, and other

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educators that must use the current system as well as certification staff at educational service districts and OSPI.

Potentially, Washington public schools might have educators teaching in classrooms without proper certification. An electronic certification system will allow OSPI and ESD certification offices to eliminate the issuing emergency and temporary permits and provide first year teacher data for compliance of NCLB reporting.

What is the relationship, if any, to the state's capital budget?

None.

What changes would be required to existing statutes, rules, or contracts, in order to implement the change?

Each phase would require review for potential change to Washington Administrative Code or Revised Code of Washington.

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Expenditure Calculations and Assumptions:

1. E-Certification

	Assumptions	FY 2010	FY 2011
<i>Hardware</i>			
SQL Server upgrade OS+Memory		\$0	\$558
Web Server (public) +OS +Virus		\$0	\$5018
<i>Personnel</i>			
Contract Project Manager	.75 contract PM 15 months @ \$120/hour	\$0	\$190,375
Contract Business Analyst	.5 contract BA for 12 months @ @100/hour	\$0	\$102,875
Contract Programmer	2 contract Developer 12 months @ \$110/hour	\$0	\$465,750
ITS 5 FTE programmer on going	FTE for Information Tech	\$0	\$132,411
Merchant fees for online payments	Assumes 10% adoption first 3 years, 5% adoption ongoing @ \$2 per transaction	<u>\$0</u>	<u>\$0</u>
Subtotal Cost for eCert		\$0	\$896,986

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2. Imaging of paper documents

	Assumptions	FY 2010	FY 2011
<u>Hardware</u>			
Scanners	2 duplex scanners - 1 standalone PC networked	\$0	\$55,750
SAN storage	upgrade existing system 2.5 TB	\$0	\$22,300
Backup system	Offsite storage and recovery	\$0	\$22,300
<u>Software</u>			
Scanner Software (Ascent Capture)	Image capture, index, and adjustment assumes 5K per month workstation only license	\$0	\$33,450
Image retrieval and viewer	Search, retrieval, viewing, reprinting (either COTS, Agency repurpose, or developed by 4 mo contractor) Per Debbie Good Services	\$0	\$324,164
<u>Personnel</u>			
Contract Project Manager/ Business Analyst	.25 contract PM and BA 12 months @ \$120/hour (equivalent 1040 hours)	\$0	\$65,375
Helpdesk support (ITS 3)	.5 FTE in helpdesk	\$0	\$61,976
Imaging prep	Contract temp agency CSS2	\$0	\$102,875
Imaging prep & accting support	.75 FTE @ CSS level 3 ongoing	\$0	\$66,204
Subtotal Cost for Imaging		\$0	\$754,394

Object Detail

		FY 2010	FY 2011	Total
A	Salary and Wages	\$0	\$144,000	\$144,000
B	Employee Benefits	\$0	\$46,944	\$46,944
C	Contracts	\$0	\$910,000	\$910,000
E	Goods/Services	\$0	\$440,436	\$440,436
G	Travel	\$0	\$5,000	\$5,000
J	Equipment	\$0	\$105,000	\$105,000
N	Grants	\$0	\$0	\$0
	Interagency Reimbursement	\$0	\$0	\$0
	Other	\$0	\$0	\$0
Total Objects		\$0	\$1,651,380	\$1,651,380

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Expenditures & FTEs by Program

Activity Inventory Item	Prog	Staffing			Operating Expenditures		
		FY 2010	FY 2011	Avg	FY 2010	FY 2011	Total
A006 Certification	010	0	2.25	1.125	\$0	\$1,651,380	\$1,651,380
Total Activities		0	2.25	1.125	\$0	\$1,651,380	\$1,651,380

Six-Year Expenditure Estimates

Fund	09-11 Total	11-13 Total	13-15 Total
General Fund – State	\$1,651,380	\$661,070	\$661,070
Expenditure Total	\$1,651,380	\$661,070	\$661,070
FTEs	2.25	2.25	2.25

Distinction between one-time and ongoing costs:

1. E-Certification

	Assumptions	FY 2011	FY 2012	Ongoing Yearly
<i>Hardware</i>				
SQL Server upgrade OS+Memory		\$0	\$558	\$0
Web Server (public) +OS +Virus		\$0	\$5,018	\$1,115
<i>Personnel</i>				
Contract Project Manager	.75 contract PM 15 months @ \$120/hour	\$0	\$190,375	\$0
Contract Business Analyst	.5 contract BA for 12 months @ \$100/hour	\$0	\$102,875	
Contract Programmer	2 contract Developer 12 months @ \$110/hour	\$0	\$465,750	\$0
ITS 5 FTE programmer on going	FTE for Information Tech	\$0	\$132,411	\$126,836
Merchant fees for online payments	Assumes 10% adoption first 3 years, 5% adoption ongoing @ \$2 per transaction	\$0	\$0	\$44,600
Subtotal Cost for eCert		\$0	\$896,986	\$162,120

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2. Imaging of paper documents

	Assumptions	FY 2010	FY 2011	Ongoing Yearly
<u>Hardware</u>				
Scanners	2 duplex scanners - 1 standalone PC networked	\$0	\$55,750	\$6,690
SAN storage	upgrade existing system 2.5 TB	\$0	\$22,300	\$2,230
Backup system	Offsite storage and recovery	\$0	\$22,300	\$2,230
<u>Software</u>				
Scanner Software (Ascent Capture)	Image capture, index, and adjustment assumes 5K per month workstation only license	\$0	\$33,450	\$17,840
Image retrieval and viewer	Search, retrieval, viewing, reprinting (either COTS, Agency repurpose, or developed by 4 mo contractor) Per Debbie Good Services	\$0	\$324,164	\$22,300
<u>Personnel</u>				
Contract Project Manager/ Business Analyst	.25 contract PM and BA 12 months @ \$120/hour (equivalent 1040 hours)	\$0	\$65,375	\$0
Helpdesk support (ITS 3)	.5 FTE in helpdesk	\$0	\$61,976	\$56,401
Imaging prep	Contract temp agency CSS2	\$0	\$102,875	\$0
Imaging prep & accting support	.75 FTE @ CSS level 3 ongoing	\$0	\$66,204	\$50,293
Subtotal Cost for Imaging		\$0	\$754,394	\$157,984

Budget impacts in future biennia:

Ongoing biennial costs include an assumption of 1.8% inflation. Merchant processing fees are expected to increase yearly with user adoption of the online application service. OSPI is planning on using existing state merchant processing through State Treasurer to take advantage of shared services and expected reduced costs. For the imaging of paper documents, OSPI expects to use an agency repurposed or off-the-shelf solution as an electronic file cabinet and workflow for archiving source documents - replacing microfiche. As the agency pilots imaging and workflow improvement, it is expected that the imaging system and business process workflow will expand to other areas of OSPI.