

Categorical Directors District-Level Compliance Checklist December 2014



The following checklist includes tasks to be completed in December to meet state and federal program requirements.

December

X	Task	Notes
	Multiple Programs	
	<p>Verify accuracy of <u>Fall 1 CALPADS data</u> due for submission by December 12, 2014. The amendment window is December 13, 2014 through February 13, 2015. English learner counts and counts of students eligible for free or reduced price lunch will be <u>used for Local Control Funding Formula (LCFF) supplemental and concentration grant funding calculations</u> for 2015-16. As of November 3, 2014, foster youth counts will automatically be updated by CDE with information from State Department of Social Services statewide match. <i>Refer to the CALPADS Calendar at: http://www.cde.ca.gov/ds/sp/cl/rptcalendar.asp and the CALPADS Data Guide at: http://www.cde.ca.gov/ds/sp/cl/systemdocs.asp for additional information.</i></p>	
	<p>Verify that a staff member has been <u>assigned the “Foster” role</u> in CALPADS to be allowed access to the Operational Data Store (ODS) summary and student detail reports on foster youth which are <u>updated weekly</u> and available on Thursday mornings. <i>Refer to CALPADS Update Flash #95 at: http://www.cde.ca.gov/ds/sp/cl/communications.asp</i></p>	
	<p>Verify that <u>processes</u> are in place to <u>identify changes to the foster youth data</u> provided weekly through CALPADS. Beginning in January 2015, a “Foster Youth” report will be available to assist in this process by identifying all students enrolled by school who at some time were identified as a foster youth. <i>Refer to CALPADS Update Flash #95 at: http://www.cde.ca.gov/ds/sp/cl/communications.asp</i></p>	
	<p>Ensure that <u>policies and procedures</u> are in place regarding <u>access to and appropriate use of CALPADS foster youth data</u>. <i>Refer to CALPADS Update Flash #95 at: http://www.cde.ca.gov/ds/sp/cl/communications.asp</i></p>	
	<p>Prepare for Winter <u>data submission</u> through the Consolidated Application and Reporting System (CARS) by ensuring that appropriate <u>staff</u> have been identified and <u>notified</u> regarding their role in the submission. Application scheduled for release January 15, 2015, due February 28, 2015. <i>Refer to the CARS Web page for the Date collection schedule: http://www.cde.ca.gov/fg/aa/co/cars.asp</i></p>	
	<p>Ensure that all staff who will be involved in the Consolidated Application and Reporting System (CARS) Winter submission <u>register</u> in the <u>Centralized Authentication System (CAS)</u> under “Register For User Account” on the CDE Web site prior to the January 15, 2015 release of CARS. Inform all users that once they have registered they should notify the LEA Administrator to assign a user role. <i>Registration can be accessed through: http://www.cde.ca.gov/fg/aa/co/cars.asp</i></p>	

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	<i>Multiple Programs continued</i>	
	Determine if the <u>Winter Consolidated Application (ConApp)</u> data submission through CARS will be <u>presented to the local school board</u> . Board approval was required for the June 30, 2014 submission of the 2014-15 application and is optional for subsequent submissions in the current year. If it is determined that the board will review the Winter submission, review the board meeting schedule and determine when the submissions will be taken to the board prior to the February 28, 2015 submission deadline. This may be an information item, based on local determination. If necessary, begin the process to schedule and prepare a <u>board agenda item</u> . Refer to the <i>December 1, 2011 letter to superintendents titled "Consolidated Application Requirements Advisory Committees and Local Board Approval"</i> at: http://www.cde.ca.gov/fg/aa/co/ca13advCouncilreq.asp	
	If there have been any <u>changes in a school's status</u> (opened, closed, merged, etc.) since submission of Spring Phase I CALPADS Data Collection, in June 2014, verify that those changes have been <u>submitted</u> through the Online Public Update for Schools (OPUS) system. <i>Information and forms available at:</i> http://www.cde.ca.gov/ds/si/ds/index.asp	
	Develop a timeline to review the <u>Consolidated Application</u> with applicable district advisory committees. Advisory committee <u>signatures are not required</u> for the Winter data collection; however, it is appropriate to keep committees informed. Refer to the <i>December 1, 2011 letter to superintendents titled "Consolidated Application Requirements Advisory Committees and Local Board Approval"</i> at: http://www.cde.ca.gov/fg/aa/co/ca13advCouncilreq.asp	
	Review <u>Schoolsite Council minutes and School Advisory Committee minutes (SAC)</u> from <u>school sites receiving EIA/SCE carryover funds</u> to verify that the minutes reflect that the SSC is obtaining input from the advisory committees regarding the revision of the SPSA. Refer to <i>education code 64001(a)</i> : http://leginfo.legislature.ca.gov/faces/codesTOCSelected.xhtml	na/c
	Determine if <u>school plans</u> at any sites will require <u>modification</u> based on evidence from ongoing monitoring that the <u>planned activities</u> are <u>not</u> being <u>effective</u> in meeting student needs. Refer to the <i>Steps for Developing the SPSA in the Guide and Template for the Single Plan for Student Achievement</i> : http://www.cde.ca.gov/nclb/sr/le/singleplan.asp	
	Verify that <u>all prior Federal Program Monitoring (FPM) non-compliant findings</u> have been <u>resolved</u> . Follow-up on any unresolved compliance items from 2014-15 on-site reviews, 2013-14 online or on-site reviews or any unresolved findings from prior reviews. Refer to the <i>CDE Compliance Monitoring Web site for training information on the resolution process and a list of LEAs with unresolved findings over 225 days</i> : http://www.cde.ca.gov/ta/cr/	

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	<i>Multiple Programs continued</i>	
	Verify that the <u>SARC</u> (School Accountability Report Card) Coordinator <u>contact information</u> for your district is current in the CDE data base to ensure receipt of information and access to pre-populated SARC school-level data and ensure timely publication by the February 1, 2015 deadline. <i>SARC Coordinators can subscribe to the listserv at:</i> http://www.cde.ca.gov/ta/ac/sa/acntrprtrcdlstsrv.asp	
	For districts with a mid-year school plan approval cycle, prepare <u>board agenda</u> item for annual <u>approval</u> of SPSA for sites participating in Consolidated Application programs (based on district's annual timeline for plan development and approval). Ensure that plans are approved by the local board annually. If plans will cross school years, ensure that is clearly reflected in the plans and board action. <i>Refer to the Guide and Template for the SPSA at:</i> http://www.cde.ca.gov/nclb/sr/le/singleplan.asp	
	Maintain documentation, (communication, parent handbooks etc.) to demonstrate that <u>parents of homeless</u> children and youth are provided <u>opportunities to participate</u> in the education of their children. <i>Refer to compliance item I-HE 01 in the Homeless Education Compliance Monitoring Instrument at:</i> http://www.cde.ca.gov/ta/cr/proginst201415.asp	
	Maintain documentation to demonstrate that the <u>LEA has informed</u> school personnel, service providers and advocates working with homeless families of the <u>duties of the homeless liaison</u> . <i>Refer to compliance item II-HE 03 in the Homeless Education Compliance Monitoring Instrument at:</i> http://www.cde.ca.gov/ta/cr/proginst201415.asp	
	<i>Title I</i>	
	Prepare to make final <u>school level funding</u> allocations based on any changes in final entitlements; prepare to assist schools in making <u>necessary budget adjustments</u> in SPSAs. Verify that SSC minutes provide documentation of SSC approval of plan/budget changes. <i>Entitlements for all ConApp programs can be found at:</i> http://www.cde.ca.gov/fq/aa/ca/index.asp	
	Verify all schools operating as Title I Schoolwide programs (SWP) are operating an <u>authorized SWP</u> program with CDE notification on file and an original <u>board approval date</u> subsequent to the 2001 passage of NCLB demonstrating the school participated in a comprehensive needs assessment and year-long plan development process (unless a lesser amount of time was needed). Prepare to <u>verify the date of board approval</u> of the original plan in the <u>Winter ConApp submission</u> (check for submission date upon release of the ConApp). <i>Refer to the Title I SWP Authorization Web page at:</i> http://www.cde.ca.gov/sp/sw/rt/swpnclb.asp	

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	<i>Title I continued</i>	
	Verify that an <u>equitable share</u> of all Title I, Part A required non-Program Improvement related funding reservations has been set aside for services to participating private school students, teachers and parents. Be prepared to verify the percentage of funds set-aside for equitable services on the Title I reservations pages in the Winter ConApp submission. <i>Refer to the CDE Web page for Guidance on Title I Required Reservations at: http://www.cde.ca.gov/fg/aa/co/ca13wquit1resreq.asp</i>	na/c
	Prepare to document in the Winter ConApp submission, the amount of all district level Title I, Part A allowable reservations and the amount reserved for <u>equitable services</u> to participating private schools for all <u>allowable reservations for schools not in Program Improvement</u> . <i>Refer to Item B-10 in the Title I Services to Eligible Private School Students Guidance on the ED Web site at: http://www2.ed.gov/policy/elsec/guid/edpicks.jhtml?src=ln</i>	Equitable services na/c
	Verify that a <u>minimum of 1%</u> of the district Title I, Part A entitlement (including any funds transferred from other federal programs) has been <u>reserved for parent involvement</u> , that an equitable share has been set-aside for equitable services for participating private schools and that <u>95%</u> of the remaining amount has been <u>allocated to participating Title I public schools</u> . Be prepared to document all reservations in the Winter ConApp submission. <i>Refer to the Guidance for Title I Required Reservations: http://www.cde.ca.gov/fg/aa/co/ca13wquit1resreq.asp</i>	Equitable share na/c; parent involvement reservations do apply to charter schools
	Verify that Title I, Part A <u>funds</u> have been <u>reserved for services to homeless youth</u> . Be prepared to indicate the <u>amount of the reservation and services provided</u> in the Winter ConApp submission. Note that although there is no specified reservation amount, funds must be reserved for services to homeless youth. <i>Refer to the Web page for Guidance: Title I Reservations (Required) at: http://www.cde.ca.gov/fg/aa/co/ca13wquit1resreq.asp</i>	
	If the district has <u>local institutions for neglected or delinquent youth</u> , verify that <u>funds</u> have been <u>reserved to serve those students</u> and prepare to document the funding reservation in the Winter ConApp submission. <i>Refer to the Web page for Guidance: Title I Reservations (Required) at: http://www.cde.ca.gov/fg/aa/co/ca13wquit1resreq.asp</i>	
	Verify that the amount of <u>Title I, Part A carryover</u> as of September 30, 2014 <u>did not exceed 15%</u> of the 2013-14 district entitlement. Be prepared to document the carryover amount in the Winter ConApp submission; prepare a waiver in the Winter ConApp data collection for any excess carryover if the amount exceeded 15% of the entitlement. Waivers may be approved by CDE once in a three year period. <i>Refer to the Carryover and Waiver Information Web page on the CDE Web site at: http://www.cde.ca.gov/sp/sw/t1/carryover.asp</i>	

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	<i>Title I continued</i>	
	Verify that the district 2014-15 <u>Comparability Report</u> is being completed. If necessary, <u>take steps to achieve compliance</u> by hiring staff, adjusting enrollment, providing additional funding or providing more current data. For 2014-15 districts with <u>county codes 01-30</u> (which includes LA County) are required to submit the comparability report to CDE by December 2, 2014. <i>Refer to the CDE Title I Comparability Web page for detailed information on the reports and required submissions:</i> http://www.cde.ca.gov/sp/sw/t1/compar.asp	
	<i>Title I Program Improvement (PI)</i>	
	Ensure that <u>plan revisions</u> for newly identified PI schools are completed within 3 months of identification and the plans go through a Peer Review process prior to submission for board approval. For this year, this applies only to high schools since Adequate Yearly Progress reports are not available this year for elementary and middle schools. <i>Refer to PI School Requirements at:</i> http://www.cde.ca.gov/ta/ac/ti/schoolpireq.asp	
	If the <u>LEA</u> has been identified for <u>year 1</u> of PI, ensure that an <u>LEA Plan addendum</u> is completed within 3 months of identification and is submitted electronically to CDE. Maintain documentation that the process involved consultation with parents and staff. (Applicable to high school districts only for the current year.) <i>Refer to Requirements for LEAs in PI Year 1, "Newly Identified" link on the CDE Web site at:</i> http://www.cde.ca.gov/ta/ac/ti/leapiyrs.asp	na/c (PI Charters follow school-level requirements)
	Prepare to document the amount of funds reserved for <u>SES, Choice and parent outreach</u> in PI schools in the <u>Winter ConApp submission</u> . <i>Refer to the CDE Web page for Guidance for Title I Required Reservations at:</i> http://www.cde.ca.gov/fg/aa/co/ca13wquit1resreq.asp	
	If the <u>LEA</u> has been identified for <u>year 3</u> of PI, ensure that the LEA reserves at least <u>10%</u> of its Title I allocation for <u>professional development</u> per State Board of Education (SBE) action at the November 2014 SBE meeting. (This action applies only to three high school districts in the state.) <i>Refer to the November 2013 SBE Agenda item 15 at:</i> http://www.cde.ca.gov/be/ag/ag/main201411.asp	
	Prior to reallocating unspent funds from the 20% Choice/SES reservation, notify eligible parents in schools in PI year 2 and beyond of the availability of a second SES enrollment period. <i>Refer to item L-1 in the January 14, 2009 federal Supplemental Educational Services Non-Regulatory Guidance:</i> http://www2.ed.gov/policy/elsec/quid/edpicks.jhtml?src=ln	

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	<i>Title I Program Improvement (PI) continued</i>	
	Verify that <u>Provider Agreements</u> have been developed for all students receiving SES that include: specific <u>achievement goals</u> ; how <u>progress</u> will be <u>measured</u> ; how <u>parents and teachers</u> will be <u>regularly informed</u> ; a <u>timetable</u> for improving student <u>achievement</u> ; <u>provision for terminating agreement</u> if goals and timetables not met; <u>provisions regarding payment and missed sessions</u> ; <u>prohibition on provider disclosing student identity</u> ; assurance of <u>meeting health safety, and civil rights laws</u> . Refer to item H-1 in the January 14, 2009 Supplemental Educational Services Non-Regulatory Guidance: http://www2.ed.gov/policy/elsec/guid/edpicks.jhtml?src=ln and item II CE-13 in the Compensatory Education Compliance Monitoring Instrument at: http://www.cde.ca.gov/ta/cr/proginst201415.asp	
	Verify that <u>SES agreements</u> for any <u>students with disabilities (SWD)</u> are consistent with <u>IEP goals</u> with regard to: 1) goals, 2) progress measures and communication regarding student progress to parents and teachers, and 3) timetable for achieving goals. Refer to item H-1 in the January 14, 2009 Supplemental Educational Services Non-Regulatory Guidance available at: http://www2.ed.gov/policy/elsec/guid/edpicks.jhtml?src=ln	
	Verify that <u>systems</u> are in place to <u>monitor SES provider agreements</u> . Refer to Section D in the Supplemental Educational Services Non-Regulatory Guidance at: http://www2.ed.gov/policy/elsec/guid/edpicks.jhtml?src=ln	
	If the full 20% Choice/SES reservation will not be spent and the district intends to reallocate remaining funds, maintain documentation to demonstrate that the district <u>has collaborated with outside groups</u> to help <u>inform parents of Choice and SES opportunities</u> as a condition of reallocating the unspent funds. Refer to items L-1 and L-4, 5 & 6 in the January 14, 2009 Supplemental Educational Services Non-Regulatory Guidance available at: http://www2.ed.gov/policy/elsec/guid/edpicks.jhtml?src=ln	
	<i>Title II</i>	
	Verify that a <u>board policy</u> is in place to ensure that <u>poor, underperforming students</u> are <u>not taught by teachers holding Provisional Intern Permits (PIP), Short-Term Staff Permits (STSP) or waivers</u> . Refer to CSBA Sample Board Policy BP 4113 at: http://www.gamutonline.net/	
	Verify that a <u>board policy</u> is in place to ensure that <u>poor, underperforming students</u> are <u>not taught by teachers holding internship credentials in greater numbers</u> than students who are assigned to schools within the district with low poverty or higher student achievement. Refer to CSBA Sample Board Policy BP 4113 at: http://www.gamutonline.net/	

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	<i>Title III/Other EL Requirements</i>	
	<p>Verify that adequate <u>general fund</u> resources are used to provide each English learner appropriate learning opportunities including <u>ELD</u> and access to <u>core curriculum</u>. <i>Refer to compliance item III-EL 11 in the on-site English Learner Compliance Monitoring Instrument at:</i> http://www.cde.ca.gov/ta/cr/proginst201415.asp</p>	
	<p>Ensure that teachers, administrators and other personnel are receiving <u>high-quality professional development</u>:</p> <ul style="list-style-type: none"> • Designed to improve instruction and assessment of ELs • Designed to enhance the teacher’s ability to understand and use curricula, assessment and instructional strategies for ELs • Based on research on increasing English proficiency or subject matter knowledge • Of sufficient intensity and duration to have a positive/lasting impact (not one day workshops). <p><i>Refer to compliance item V-EL 16 in the English-Learner Compliance Monitoring Instrument at:</i> http://www.cde.ca.gov/ta/cr/proginst201415.asp</p>	
	<p>Review <u>Schoolsite Council</u> and <u>ELAC minutes</u> from school sites receiving EIA/LEP carryover funds to verify that the minutes reflect that the SSC is obtaining input from the English Learner Advisory Committee regarding the revision of the SPSA. ELAC requirements for schools not receiving EIA funds are under review. We recommend maintaining ELACs at schools with 21 or more English learners and continuing ELAC input to the SSC for the SPSA until a final determination is made. <i>Refer to compliance item I-EL 02(d) in the EL Compliance Monitoring Instrument:</i> http://www.cde.ca.gov/ta/cr/proginst201415.asp</p>	na/c
	<i>Local Control Funding Formula/Local Control & Accountability Plan</i>	
	<p>Review <u>revised state board approved LCAP Template</u> and <u>Final Supplemental and Concentration Grant Spending Regulations</u>; share changes with administrative staff responsible for LCAP development and the Annual Update of the 2014-15 goals and actions. <i>Refer to the November 14, 2014 State Board of Education (SBE) Agenda Item 14 Attachment 2:</i> http://www.cde.ca.gov/be/ag/ag/yr14/agenda201411.asp</p>	
	<p>Analyze strengths and weaknesses of last year’s LCAP engagement process and make necessary adjustments; <u>schedule meetings</u> with all required <u>stakeholder groups</u> for input on the Annual Update and revisions for the <u>2015-18 LCAP</u>. <i>Refer to EC52060(g):</i> http://leginfo.legislature.ca.gov/faces/codesTOCSelected.xhtml</p>	

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