Rethinking Requirements: Federal Funding Made Easy(-ier) and Aligned

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Today, we will connect the dots and move past compliance

First, **Reinforce**
- Review requirements:
  - fiscal
  - program
  - reporting
  - monitoring

then, **Leverage**
- Share best practices and considerations learned from charter schools and today’s participants

And finally, **Prioritize**
- Focus on select topics and discuss how to help set priorities and actionable next steps
Meeting requirements should help meet your school’s mission.
Charter schools are stewards of public funds, too
The formula is not the only complex part of federal funds

These requirements are often treated as separate initiatives.

However, there is an opportunity to fit them together!
Let's start with the first piece: a comprehensive plan.
What's in common? Needs, goals, actions & resources

Assess Needs
Identify Goals
Create Strategies

This is challenging
We can follow the steps to create strategies and meet goals, but this is no easy task!
How might the plan assist with the LCAP?

Here is a key element of the SSD Plan

Here’s how this might map to a requirement of the LCAP
Once you have the plan, let's get people on board
Then leverage some helpful tips about your SSC

First, **Reinforce**

then, **Leverage**

And finally, **Prioritize**

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**Top 6 tips for your SSC**

<table>
<thead>
<tr>
<th>Recruit</th>
<th>Train</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elect</td>
<td>Monitor</td>
</tr>
<tr>
<td>Meet</td>
<td>Empower</td>
</tr>
</tbody>
</table>
How can we use the SSC for your LCAP?

**Elementary**
- **10 members minimum**
  - Principal
  - Parents & Cmty. Members
  - Teachers
  - Other

**Secondary**
- **12 members minimum**
  - Principal
  - Parents & Cmty. Members
  - Students
  - Other
Your SSC can be your starting point for all engagements

Consult community
Use forums and workshops to ensure students, teachers and other staff are aware of LCAP goals and actions

Solicit feedback
Use focus groups and surveys to collect and address feedback from advisory groups to help influence the LCAP’s goals and actions

Inform public
Use notices and newsletters to share updates and information on the LCAP and provide opportunities to comment on goals and actions
Advisory Council Planning Documents OR Single School District (SSD) Plan Local Education Agency (LEA) Plan + Fiscal Requirements
Maintain state and local effort

Aggregate expenditures from state and local funds from preceding year cannot be less than 90% of second preceding year

Know what expenditures to exclude and include:

<table>
<thead>
<tr>
<th>Exclude these expenditures</th>
<th>Include these expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Funds</td>
<td>State and Local Funds</td>
</tr>
<tr>
<td>Community Services</td>
<td>Administration:</td>
</tr>
<tr>
<td></td>
<td>Instruction, attendance,</td>
</tr>
<tr>
<td></td>
<td>transportation, operations,</td>
</tr>
<tr>
<td>Capital Outlay</td>
<td>food services</td>
</tr>
<tr>
<td>Debt Services</td>
<td></td>
</tr>
</tbody>
</table>

Supplement, not supplant

Your federal funds cannot take the place of non-federal funds!

Know that supplanting may occur IF Title I funds were used to provide services that:

1. Were required to be made available under other federal, state or local laws
2. Were provided with non-federal funds in the prior year
3. Were provided to participating students, if the same services were provided with non-federal funds to non-participating students
There are three principal sources of federal funding:

<table>
<thead>
<tr>
<th>Title I</th>
<th>Title II</th>
<th>Title III</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding to support the education of children of low-income families</td>
<td>Funding to improve teacher and principal quality</td>
<td>Funding to ensure students with limited English proficiency meet the same academic content and achievement standard as all students</td>
</tr>
</tbody>
</table>
There are two federal program models

**Targeted Assistance School (TAS)**

**Eligibility**
- Default model – all schools start out as a TAS
- Students that qualify as FRL status are included in the funding formula
- Students identified based on multiple, objective criteria

**Flexibility**
- Funds used to benefit achievement of students identified as “at-risk” (as well as the staff supporting them)

**Schoolwide Programs (SWP)**

OR

**Eligibility**
- At least 40% students qualify for FRL status
- Must conduct year-long needs assessment and planning
- Plan addresses 10 required components

**Flexibility**
- Funds used to enhance instructional program and benefit achievement of ALL students
But one system of accountability

All charters must meet Adequate Yearly Progress (AYP)

- Student Participation Rate
- Percent Proficient
- Academic Performance Index
- Graduation Rate

Year 1
Choice
- Reserve 20% for transportation
- Notify parents of charter’s status and options
- Make available to all students, but prioritize low-income students

Year 2
SES
- Continue choice from Year 1
- Offer supplemental educational services (SES)
- Make available to all students, but prioritize low-income students

Year 3
Corrective Action
- Implement new curriculum
- Extend school year and day
- Restructure organization: (i.e. replace staff and decrease site authority)

Years 4 - 5
Restructuring
- Develop restructuring plan
- Replace all / most staff
- Contract with outside management entity

Year 4
- Implement plan

Year 5
- Implement plan
When will you get Title I funds and for how long?

2014-15 School Year Federal funds available for 27 months

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2013</td>
<td>Federal funds appropriated by congress</td>
</tr>
<tr>
<td>July 1, 2014</td>
<td>Federal funds available to all LEAs</td>
</tr>
<tr>
<td>September 30, 2015</td>
<td>End of Federal funds initial period of availability</td>
</tr>
<tr>
<td>September 30, 2016</td>
<td>End of carryover period. Unused funds revert to US Treasury</td>
</tr>
</tbody>
</table>

15% maximum carryover for Title I

Title I Carryover – The Rule
Your charter can carryover from one FY's allocation to the next, an amount not more than 15% of Title I funds allocated.

Title I Carryover – The Practice
Many schools do NOT carryover funds. If you are not spending your money, you may not get more! Also, you will be responsible for paying interest earned to the federal government.
Title II: Reinforce and leverage

Leverage with planning questions

Try to answer these questions with a **Yes**

<table>
<thead>
<tr>
<th>Question</th>
<th>Y or N</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Does your Title II budget align with your Consolidated Application?</td>
<td>Y or N</td>
</tr>
<tr>
<td>2. Do your efforts for recruiting, training and retaining focus on core subjects?</td>
<td>Y or N</td>
</tr>
</tbody>
</table>
## Title III: Reinforce and leverage

### Leverage with planning questions

Try to answer these questions with a **Yes**

<table>
<thead>
<tr>
<th>Question</th>
<th>Y or N</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do you know how EL and Immigrant counts are reported?</td>
<td>Y or N</td>
</tr>
<tr>
<td>2. Did your school meet 2012-13 Annual Measurable Achievement Objective (AMAOS)?</td>
<td>Y or N</td>
</tr>
</tbody>
</table>
There are requirements / policies in addition to an SSC

<table>
<thead>
<tr>
<th>School Site Council</th>
<th>English Learner Advisory Ctte.</th>
<th>Parental Involvement</th>
<th>Homeless Education</th>
</tr>
</thead>
</table>
| **Are you required?**  
If your school receives Title I funds | **Are you required?**  
If your school has 51 or more English learners | **Are you required?**  
If your school receives Title I funds | **Are you required?**  
All schools |
| **What does it do?**  
Develops, approves, monitors implementation evaluates, and revises the SPSA. Includes proposed expenditures of funds allocated to the school. | **What does it do?**  
Advises school leadership on programs and services for English learners and reviews reporting requirements for Consolidated Application | **What does it do?**  
Provides an opportunity for parents to be more involved in their children’s education and contribute to student success | **What does it do?**  
Ensures each homeless child has equal access to public education:  
• Provide comparable services  
• Eliminate barriers to enrollment  
• Offer liaison to students |
### Parental Involvement

- **IF** total allocation is greater than $500,000, **THEN:**
  - Reserve at least 1% of allocation
  - Carry out parental involvement activities

- **IF** total allocation is less than $500,000, **THEN:**
  - Carry out parental involvement activities

### Homeless Student Education

- Not determined by a formula
- To be determined by your charter as appropriate

### Professional Development

- Reserve 10% of total allocation
- Required if your charter is in Program Improvement Yr. 1

### Supplemental Education Services

- Reserve 15% of total allocation
- Required if your charter is in Program Improvement Yr. 2

### One more thing: funding set asides

- Reserve 10% of total allocation if your charter is in Program Improvement Yr. 1
- Reserve 15% of total allocation if your charter is in Program Improvement Yr. 2

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**IF** total allocation is greater than $500,000, **THEN:**

- Reserve at least 1% of allocation
- Carry out parental involvement activities

**IF** total allocation is less than $500,000, **THEN:**

- Carry out parental involvement activities
Consider this for meetings

**Get what you need**
Focus on your goal: input on budget or feedback on the plan?

**Document**
Save and document meeting notes and offer them in other languages

**Set dates in advance**
Schedule 2 meetings per year – one earlier and the other later

What else works well for you?

Consider this for communications

**Use the internet**
Create message boards or forums on your school's website

**Document**
Save and document communications and offer them in other languages

**Utilize existing initiatives**
Include communications in weekly / monthly newsletters

What else works well for you?
Fiscal Requirements Advisory Council Planning Documents OR Single School District (SSD) Plan Local Education Agency (LEA) Programmatic Requirements + Reporting Requirements
Reporting requirements

- Con App: Consolidated Application
- CMDC: Cash Management Data Collection
- CALPADS: California Longitudinal Pupil Achievement Data System
Ensure that your Con App aligns with your program plan

Reinforce with these quick facts

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall Release</td>
<td>• Documents participation in federal programs</td>
</tr>
<tr>
<td></td>
<td>• Reserves or reports expenditures</td>
</tr>
<tr>
<td>Winter Release</td>
<td>• Provides assurances school will comply with regulations</td>
</tr>
<tr>
<td>Spring Release</td>
<td></td>
</tr>
</tbody>
</table>

Leverage with planning questions

Try to answer these questions with a **Yes**

1. Do you prepare in advance for reports that require Board approval?  
   **Y or N**

2. Do expenditure reports align with plans and budgets outlined in the LEA plan?  
   **Y or N**

3. Do you complete both “district” and “school” reporting requirements?  
   **Y or N**
Track funds received and spent, then report via CMDC

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Purpose</th>
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</thead>
</table>
| Report each Quarter | • Collects quarterly cash balances for Title I - III  
|                     | • Minimizes time for schools to receive federal funds  
|                     | • Determines your school’s quarterly apportionment |

**Reinforce with these quick facts**

**Leverage with planning questions**

**Try to answer these questions with a Yes**

1. Do you prioritize spending federal funds to avoid a positive fund balance?  
   - Y or N

2. Do you use ongoing spending such as staff salaries to ensure regular expenditures?  
   - Y or N

3. Do you track all funds received and spent monthly?  
   - Y or N
There is an increasing number of data inputs and uses

So much going in
- Demographic Data
- Program Eligibility
- Course / Staff Info
- Accountability

CALPADS

So much going out
- Federal Reporting
- Subgroup ID
- ID for Services
- Funding

ExED
**Try to answer these questions with a Yes**

<table>
<thead>
<tr>
<th>Question</th>
<th>Y or N</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do you collect required information during enrollment?</td>
<td>Y or N</td>
</tr>
<tr>
<td>2. Do you review, verify and upload data to CALPADS regularly?</td>
<td>Y or N</td>
</tr>
<tr>
<td>3. Do you utilize Direct Certification statuses from CALPADS?</td>
<td>Y or N</td>
</tr>
</tbody>
</table>
Reporting Requirements

Fiscal Requirements

Planning Documents

Advisory Council

Programmatic Requirements

Reporting Requirements

Monitoring Requirements

Single Plan for Student Achievement (SPSA)

Local Education Agency (LEA) Plan

Single Plan for Student Achievement (SSA)
Reinforce your Time & Effort reporting requirements

<table>
<thead>
<tr>
<th>Questions</th>
<th>True or False</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The receipt of federal funds trigger time and effort reporting requirements</td>
<td>T or F</td>
</tr>
<tr>
<td>2. An employee is funded in full or in part with federal funds and therefore must complete time and effort reports</td>
<td>T or F</td>
</tr>
<tr>
<td>3. The type of report to complete does NOT depend on an employee’s funding and duties</td>
<td>T or F</td>
</tr>
<tr>
<td>4. Time and Effort Reporting is the same as time reporting – such as time sheets</td>
<td>T or F</td>
</tr>
<tr>
<td>5. If federal and state funds are used for salaries, then time distribution records are required</td>
<td>T or F</td>
</tr>
<tr>
<td>6. If an employee were paid with federal funds, then that employee must work on that specific federal program / cost objective</td>
<td>T or F</td>
</tr>
</tbody>
</table>

**Purpose**
If federal funds support salary costs, the program benefits from the effort of that employee is in proportion to the funding supporting that employee’s salary.

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Reinforce what you know: Time Reporting

Complete the IF, THEN statements:

1) **IF** an employee works on multiple cost objectives,
   
2) **IF** an employee works on a single cost objective,

   **A. THEN** you use Semi-Annual Certification

   **B. THEN** you use the Personnel Activity Report (PAR)
Leverage what others do with these checklists

For my Personnel Activity Reports (PARs), my charter:  

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Done?</strong></td>
<td></td>
</tr>
<tr>
<td><strong>1.</strong> Reflects the total time and activity for which the employee is compensated</td>
<td></td>
</tr>
<tr>
<td><strong>2.</strong> Completes the report at least monthly (and coincides with a pay period)</td>
<td></td>
</tr>
<tr>
<td><strong>3.</strong> Reflects an “after-the-fact” distribution of the actual activity of the employee</td>
<td></td>
</tr>
<tr>
<td><strong>4.</strong> Ensures the report is signed and dated by the employee and supervisor</td>
<td></td>
</tr>
<tr>
<td><strong>5.</strong> Compares PARs to budget estimates on a quarterly basis</td>
<td></td>
</tr>
<tr>
<td><strong>6.</strong> Adjusts the budget if there is a deviation of 10% or more</td>
<td></td>
</tr>
</tbody>
</table>

For my Semi-Annual Certifications, my charter:  

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Done?</strong></td>
<td></td>
</tr>
<tr>
<td><strong>1.</strong> Indicates that the employee worked only on a single program / cost objective</td>
<td></td>
</tr>
<tr>
<td><strong>2.</strong> Completes the report at least every six months</td>
<td></td>
</tr>
<tr>
<td><strong>3.</strong> Ensures the report is signed by a supervisor with knowledge of the work</td>
<td></td>
</tr>
<tr>
<td><strong>4.</strong> Considers the use of a blanket certification signed by the supervisor</td>
<td></td>
</tr>
</tbody>
</table>
Reinforce what you know: Equipment Inventory

<table>
<thead>
<tr>
<th>Information:</th>
<th>Fill below:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description (type, model)</td>
<td></td>
</tr>
<tr>
<td>Identification number (serial)</td>
<td></td>
</tr>
<tr>
<td>Fund source / % of federal funds</td>
<td></td>
</tr>
<tr>
<td>Acquisition date</td>
<td></td>
</tr>
<tr>
<td>Original cost</td>
<td></td>
</tr>
<tr>
<td>Location</td>
<td></td>
</tr>
<tr>
<td>Current condition (good / fair / poor)</td>
<td></td>
</tr>
<tr>
<td>Date of transfer or replacement</td>
<td></td>
</tr>
</tbody>
</table>

Equipment purchased with federal funds needs to be inventoried and labeled with:

- Funding source
- Identification code
- District name

Use the checklist to the left to ensure appropriate documentation.
Wrap-up: How do federal funds fit with your charter and your mission?

Planning Documents

Advisory Council

Fiscal Requirements

Programmatic Requirements

Reporting Requirements

Monitoring Requirements

OR

Local Plan

School District

Single School

District (SSD)

Plan

Single Plan

for Student

Achievement

(PSA)

Local Education Agency (LEA) Plan

Programmatic Requirements

Monitoring Requirements