



2013–2014 School Improvement Grant On-site Monitoring

California Accountability and Improvement System and the
School Improvement Grant Instrument Webinar
September 16, 2013

**Presented by
School Turnaround Office and
Federal Program Monitoring Office
California Department of Education**

CALIFORNIA DEPARTMENT OF EDUCATION
Tom Torlakson, State Superintendent of Public Instruction



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Purpose

- Federal laws require the California Department of Education (CDE) to ensure that School Improvement Grant (SIG) funds are awarded to local educational agencies (LEAs) and are used by LEAs in accordance with the statutory requirements and the SIG final requirements.



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Training Objectives

- Increase understanding of the California Accountability and Improvement System (CAIS)
- SIG Instrument
- Review the Resolution Process



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Federal Program Monitoring Office

- CAIS Web site

[http:// www.cais.ca.gov](http://www.cais.ca.gov)



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SIG Monitoring Web Page

- Notification Letter
- List of LEAs Selected
- Program Instrument
- SIG monitoring Web page
<http://www.cde.ca.gov/ta/cr/sig.asp>



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SIG Program Instrument

- Contains the legal requirements pertaining to SIG
- Used to review whether an LEA is meeting requirements
- LEAs can access program requirements on CAIS and upload documents for the SIG program instrument items to demonstrate implementation



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SIG Program Instrument

- I. Turnaround Model
- II. Transformation Model
- III. Restart Model
- IV. Closure Model
- V. Fiscal Requirements



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Dimension I Turnaround Model

- Principal Replacement
- Staff Replacement
- Recruit, Place, Retain
- Professional Development
- Governance Structure
- Instructional Program
- Use of Student Data



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Dimension I Turnaround Model (Cont.)

- Increased Learning Time
- Social-Emotional and Community



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Dimension II Transformation Model

- Principal Replacement
- Teacher Evaluation
- Identify, Reward, and Replace
- Recruit, Place, and Retain
- Professional Development
- Operational Flexibility
- Instructional Program



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Dimension II Transformation Model (Cont.)

- Use of Student Data
- Increased Learning Time
- Family and Community Engagement
- Technical Assistance



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Dimension III Restart Model

- Selection of Charter School Operator, Charter Management Organization, or Education Management Organization
- Former Student Enrollment
- California Charter Requirements



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Dimension IV Closure Model

- School Closure
- Family and Student Support



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Dimension V

Fiscal Requirements

- Fiscal Management
- Fiscal Accountability
- Equipment
- Leadership Team Approval



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V-SIG 26 & 27 Fiscal Management and Accountability

- Having policies and procedures in place that demonstrate strong fiscal management practices will be a primary factor in meeting the Fiscal Management and Accountability requirements for the SIG Monitoring Review



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V-SIG 26 Fiscal Management

- Proper accounting of time and attendance for SIG funded staff
- Supplement, not supplant
 - The LEA Plan (LEAP) and Single Plan for Student Achievement (SPSA)
 - Position control reports
 - Regulations, policies, and protocols
 - Detailed financial activity report for resource code 3180



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V-SIG 27 Fiscal Accountability

- Agree that funds will:
 - Be spent as indicated in the sub-grant proposal
 - Be used only in the school(s) identified in the LEA's sub-grant
 - The LEAP and SPSA
 - Detailed financial activity report for resource code 3180
 - SIG funded contracts
 - Time accounting records
 - LEA description and process of how it is using SIG and other funds to support implementation



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V-SIG 26 & 27 Fiscal Management and Accountability

Example Fiscal Report

FUND	RESOURCE	GOAL	FUNCTION	OBJECT	FY	ADOPTED WORKING		ENCUMBRANCE	EXPENDITURES	VENDOR
						BUDGET	BUDGET			
01	3180	1110	1000	4300	11-12				394.38	MATH R US
01	3180	1100	1000	4300	11-12				133.22	A+ SUPPLIES
01	3180	1110	1000	4300	11-12				5,622.29	SCHOOL SUPPLY INC
01	3180	1110	1000	4300	11-12				3,002.46	ABC SCIENTIFIC
01	3180	1110	1000	4300	11-12				3,853.32	ABC SCIENTIFIC
01	3180	1110	1000	4300	11-12				5,299.21	MATH R US
01	3180	1110	1000	4300	11-12				47.63	A+ SUPPLIES
01	3180	1110	1000	4300	11-12				347.22	A+ SUPPLIES
01	3180	1110	1000	4300	11-12				344.74	SCHOOL SUPPLY INC
01	3180	1110	1000	4300	11-12			2,000.00		
01	3180	1110	1000	4300	11-12				22,345.00	
TOTAL OBJECT CODE 4300				4300		22,345.00	22,345.00	2,000.00	19,044.47	
01	3180	0000	2490	4400	11-12				9,872.61	FURNITURE DEPOT
01	3180	0000	2490	4400	11-12				12,655.00	-
TOTAL OBJECT CDE 4400				4400		12,655.00	12,655.00	-	9,872.61	18
TOTAL OBJECT CODE 4XXX						35,000.00	35,000.00	2,000.00	28,917.08	



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V-SIG 26 & 27 Fiscal Management and Accountability (Cont.)

Non-Example

Object Code	Expenditure Description	2012-13 Total
1100	Teachers' Salaries	\$70,000
1200	Certificated other	\$80,002
2100	Secretary Salaries	\$62,000
2200	Classified Support Salaries	\$15,000
2400	Office Staff Salaries	\$2,000
3101	Certificated Benefits (Health and Welfare)	\$3,000
3202	Classified Benefits (OASDI/Medicare/Alternative, SUI, Health and Welfare)	\$1,000
4100	Supplemental Core Curricula Materials	\$143,000
4215	Classroom Materials and Supplies	\$100.00
4300	Materials and Supplies	\$400,001
4410	Computer Hardware	\$2,000
5200	Travel and Conferences	\$20,000
5210	Training and Development Expense	\$135,000
5800	Professional/Consulting Services and Operating Expenditures	\$500,000



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V-SIG 26 & 27 Fiscal Management and Accountability (Cont.)

- SIG funded contracts should include:
 - **Specific beginning and ending dates** that do not exceed the grant years
 - A scope of work that **directly responds** to the **intervention model requirements**, **SIG needs assessment**, **SIG implementation plan**, and **SIG budget**

Who, What, How, When



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Supplement, Not Supplant

Supplement with SIG Funds, Not Supplant with SIG Funds:

- Are used to supplement the level of state and local public funds a school receives
- Are above and beyond the “core,” or basic educational program
- Were not previously funded with state or local funds

Proceed with caution: cost sharing with SIG, contracts, English Language Development, supplies & materials, personnel, assessments, etc.



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Supplement, Not Supplant (Cont.)

Supplement with SIG Funds, Not Supplant with SIG Funds:

Three tests generally used to determine if supplanting exists

- 1) Are SIG funds being used to provide services that the LEA was required to make available under state or local laws?



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Supplement, Not Supplant (Cont.)

- 2) Are SIG funds being used to provide services that the LEA provided with non-federal funds in prior year(s)?

- 3) Are SIG funds being used to provide services to Title I students when the same service is being provided with state or local funds for non-Title I students?



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V-SIG 28 Equipment

LEAs need to provide evidence of a recent physical check of inventory; i.e., an inventory that has occurred within two fiscal years

- All equipment purchased with SIG funds with a value of \$500 or more

Inventory Reports Should Include the Following:

Type/description	Model/name
Serial number	Funding source
Acquisition date	Cost
Location	Current condition



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V-SIG 29 Leadership Team/School Site Council Approval

- Let's not forget the importance of having the components of SIG thoughtfully and strategically included within the SPSA
- SIG goals and activities need to align with the overarching goals of the SPSA and there needs to be strong evidence that updates, reviews, and approvals are happening!
- Be prepared to show evidence of meeting notices and meeting minutes



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Frequent Fiscal Monitoring Findings

- Improper disbursement of and accounting for federal funds paid under the sub-grant
- Missing required evidence
- Incomplete physical check of equipment inventory
- Alignment and evaluation of SIG components with SPSA goals and activities



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Best Practices Are Key!

The following is a list of some best practices for the Business Office

- Budgets are frequently monitored and corrections are timely
- Copies of Single SPSA are maintained in the Business Office. Goals from the plan are referenced on expenditure requests
- Time Accounting records are contemporaneous and aligned to Position Control and payroll records
- Frequent communication with Program Office



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Best Practices Are Key! (Cont.)

Best practices for the Categorical/Program Office:

- Ensure that the SIG budget is aligned to the SIG Plan and narrative submitted to the CDE
- Ensure there is contemporaneous evidence that supports that all items supported with SIG funds are supplemental
- Monitor budget and expenditure reports to ensure that all purchases, contracts, and personnel are included in the SIG budget
- Communicate often with the Business Office and Site Managers



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Preparation for On-site Review

- SIG Program Instrument
- SIG LEA Grant Application
- Other documents pertinent to SIG
- Upload evidence into CAIS, 30 calendar days prior to visit
 - Associated Documents
 - Required and Suggested Documents



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Resolution Process

- Within 35 business days of on-site review, the CDE will notify the LEA of any compliance findings
- Within 30 business days of the notification, the LEA will provide documentation or additional evidence of how it has addressed any compliance findings in the CAIS



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Technical Assistance & Resources

- CDE SIG Web page
www.cde.ca.gov/sp/sw/t1/sig09.asp
- CDE SIG Monitoring Web site
www.cde.ca.gov/ta/cr/sig.asp
- U.S. Department of Education (ED) Web site
<http://www.ed.gov>
- SIG Webinar Resources, California Comprehensive Center Web site
<http://cacompcenter.org/productivity-effectiveness-and-efficiency/>
- CAIS Help Desk contact number and Web site
916-319-0935
CAIShelp@cde.ca.gov



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Where to Find In-depth Information

The March 2012 SIG Guidance on the ED Web page is available at <http://www2.ed.gov/programs/sif/legislation.html> including:

- Legislation, regulations, and guidance
- SIG implementation guidance
- Final Requirements