



# **Systemic Local Educational Agency (LEA) Plan Development**

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## **Module I: Examining the LEA Plan in Federal, State, and Local Context**

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

This is the first in a series of trainings on writing and implementing an effective local educational agency (LEA) Plan.



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# Welcome

- Introduction of presenters:
  - Name/contact information
  - Name/contact information

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Facilitators should include their own contact information on this slide.



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# Meeting Norms

- Start and end meetings on time.
- Stay focused on the topic.
- Listen to others with best intentions.
- Seek clarification when needed.

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Trainer note: Post a piece of chart paper and post-it notes or pens for a parking lot for off-topic [birdwalking] discussions.



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## Purpose of the Series

To develop expertise among district administrators, leadership teams, and technical assistance providers in writing and implementing a clear and educationally sound Local Educational Agency (LEA) Plan.

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The purpose of the series is to guide participants through a step-by-step process for developing and using a local educational agency plan (LEA Plan) that is strategic and useful for improving student achievement. Such a plan will include specific actions, identify persons who will be doing the work, provide timely completion dates, and post authentic funding target amounts and sources.

The content of this training is geared toward LEAs in Program Improvement that must revise their LEA Plan, but the processes and methods described are applicable to all LEAs in writing and revising the LEA Plan.



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## Series Modules: Systemic Planning Functions

1. Examining the LEA Plan in Federal, State, and Local Context.
2. Conducting a Needs Assessment to Identify Priorities of the LEA Plan.
3. Developing the LEA Plan to Address Priorities.
4. Implementing and Monitoring the LEA Plan.

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This training is offered in four separate modules. Each module can stand alone as a single training, or the modules may be delivered as a series. Trainers may draw slides from the modules for their own use.

**Module I** addresses statutes and regulations governing the LEA Plan for districts receiving categorical funding and those in various stages of Program Improvement (PI). It addresses some typical challenges in the local context and the use of various categorical funds to implement the LEA Plan.

**Module II** guides districts through an analysis of student achievement data and use of state program evaluation tools. It includes overviews of the Academic Program Survey (APS), English Learner Subgroup Self-Assessment (ELSSA), Inventory of Services and Supports (ISS) for Students with Disabilities, District Assistance Survey (DAS). Using a case study, participants examine student achievement data sources and learn a process for synthesizing the data to determine priority areas of focus for the LEA Plan.

**Module III** is an in-depth examination of the DAS and its use to determine recommendations and develop actions for the Plan. This module presents a model process for a district leadership team (DLT) to develop the LEA Plan.

**Module IV** focuses on the roles of district leaders and advisory teams in implementing and monitoring the LEA Plan. It includes an examination of the alignment between the LEA Plan and school plans. It further describes a process for effective monitoring of the LEA Plan.



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## The LEA Plan

- Establishes district priorities.
- Documents major district initiatives to address priorities.
- Addresses five major performance goals set by the Elementary and Secondary Education Act (ESEA).
- Is a single, coordinated, and comprehensive plan.

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The LEA Plan is the **district foundation** for improved student achievement. Rather than a bureaucratic exercise with limited potential for improving student achievement, the most successful plans include thoughtful, educationally sound actions that (a) can be implemented, and (b) will lead to improved student achievement. These plans reflect year-to-year changes in student performance, resource allocation, and instructional practices in the district.



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## Module I Topics

- The LEA Plan in the Federal and State Context
- A Detailed Look at the LEA Plan
- Title I Accountability
- Building Coherence through the LEA Plan
- The LEA Plan in the Local Context
- Alignment of the LEA Plan and Budget

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# **Module I: Examining the LEA Plan in the Federal, State, and Local Context**



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# The LEA Plan in the Federal and State Context

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A district plan is a requirement of Elementary and Secondary Education Act (ESEA). In California, this is the LEA Plan.



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## Federal Accountability and the LEA Plan

The LEA Plan is:

- Required under Section 1112 of the Elementary and Secondary Education Act (ESEA).
- Organized around five performance goals.
- Periodically reviewed and as necessary, revised.

(See

[www.cde.ca.gov/nclb/sr/le/leaupdate.asp](http://www.cde.ca.gov/nclb/sr/le/leaupdate.asp)).

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The LEA Plan is required under Section 1112 of ESEA. It must be periodically reviewed, and as necessary, revised.

- Initial LEA Plans are reviewed by individual CDE reviewers.
- In California, the expectation is that LEAs will review and update their LEA Plans annually based on new student achievement data and any changes in funding.
- In Program Improvement Year 1, LEAs must address eight areas identified in ESEA section 1116 (c)(7). These are typically completed in an Addendum to the LEA Plan.



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## LEA Plan Performance Goals

1. All students (including English learners [ELs] and students with disabilities [SWDs]) proficient or better in reading and mathematics.
2. All limited-English-proficient students reach proficiency in English.
3. All students taught by highly qualified teachers.

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Specific targets are set for each of the required goals.

- Districts that fail to meet Goals 1 and/or 5 do not make Adequate Yearly Progress targets and may be subject to accountability requirements defined under Title I.
- Districts that fail to meet Goal 2 will fail to meet Annual Measurable Achievement Objectives 1 and/or 2 and are subject to accountability requirements under Title III.
- Districts that fail to meet Goal 3 are subject to accountability requirements defined under Title II.
- LEAs are encouraged to work across all goals to meet the academic needs of all students. Complete descriptions of the LEA Plan goals are in Module III.



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## LEA Plan Performance Goals (Cont.)

4. All students are taught in a safe, drug-free learning environment.
5. All students graduate from high school.

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Goal IV is no longer federally funded, but under the provisions of *Education Code* Section 51260, the law requires all LEAs to provide instruction in elementary and secondary schools by appropriately trained instructors on drug education and the effects of the use of tobacco, alcohol, narcotics, dangerous drugs, and other dangerous substances.

All LEAs that enroll high school students must complete Goal V.



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## California Accountability and the LEA Plan

- In California, the LEA Plan is **one of four** components of a system of accountability.
- The LEA Plan is the primary **programmatic** document to define actions the LEA will take to support schools in improving student achievement.

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The next slide provides an overview of the four components of the accountability system.

California Accountability System					
 <p><b>TOM TORLAKSON</b> State Superintendent of Public Instruction</p>	<table border="1"> <tr> <td style="vertical-align: top;"> <p><b>Consolidated Application (ConApp)</b></p> <ul style="list-style-type: none"> <li>• Primary <b>fiscal</b> document.</li> <li>• Tracks expected allocations of state and federal funds.</li> </ul> <p><a href="http://www.cde.ca.gov/fg/aa/co/">http://www.cde.ca.gov/fg/aa/co/</a></p> </td> <td style="vertical-align: top;"> <p><b>LEA Plan</b></p> <ul style="list-style-type: none"> <li>• Primary <b>programmatic</b> document.</li> <li>• States goals and actions the LEA will undertake to support improved student achievement.</li> </ul> </td> </tr> <tr> <td style="vertical-align: top;"> <p><b>Single Plan for Student Achievement (SPSA)</b></p> <p>School level plan that consolidates all programs and funding sources to map a school's plan for improving student achievement.</p> <p><a href="http://www.cde.ca.gov/nclb/sr/le/documents/spsaguide2010.doc">http://www.cde.ca.gov/nclb/sr/le/documents/spsaguide2010.doc</a></p> </td> <td style="vertical-align: top;"> <p><b>Consolidated Program Monitoring (CPM)</b></p> <p>Primary vehicle for monitoring appropriate implementation and expenditure of state and federal funds.</p> <p><a href="http://www.cde.ca.gov/ta/cr/">http://www.cde.ca.gov/ta/cr/</a></p> </td> </tr> </table>	<p><b>Consolidated Application (ConApp)</b></p> <ul style="list-style-type: none"> <li>• Primary <b>fiscal</b> document.</li> <li>• Tracks expected allocations of state and federal funds.</li> </ul> <p><a href="http://www.cde.ca.gov/fg/aa/co/">http://www.cde.ca.gov/fg/aa/co/</a></p>	<p><b>LEA Plan</b></p> <ul style="list-style-type: none"> <li>• Primary <b>programmatic</b> document.</li> <li>• States goals and actions the LEA will undertake to support improved student achievement.</li> </ul>	<p><b>Single Plan for Student Achievement (SPSA)</b></p> <p>School level plan that consolidates all programs and funding sources to map a school's plan for improving student achievement.</p> <p><a href="http://www.cde.ca.gov/nclb/sr/le/documents/spsaguide2010.doc">http://www.cde.ca.gov/nclb/sr/le/documents/spsaguide2010.doc</a></p>	<p><b>Consolidated Program Monitoring (CPM)</b></p> <p>Primary vehicle for monitoring appropriate implementation and expenditure of state and federal funds.</p> <p><a href="http://www.cde.ca.gov/ta/cr/">http://www.cde.ca.gov/ta/cr/</a></p>
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Handout: California Accountability System

This table represents the four major systems for accountability in California. The focus of this training is on the LEA Plan.

The requirements for the other accountability components are available on the CDE Web sites noted in the table.

Participants should reflect on the inter-relationships among the four components of the accountability system.

- The LEA Plan is the guiding district action plan, annually updated.
- The Consolidated Application, or ConApp, is the annual application and documentation of how funds are used in the LEA Plan.
- Any school receiving funds through the ConApp process must have a Single Plan for Student Achievement (SPSA) or similar plan. The SPSA is written with a School Site Council and submitted for approval to the LEA governing board which may return it for revisions. The SPSA should be aligned with the LEAP and support the district's priorities.
- Categorical Program Monitoring or CPM, is the state's primary on-site and document review of district and school compliance with federal and state law for the appropriate use of funds and delivery of program.

*Facilitator's note: have participants look at handout 14a and discuss what this slide tells you about how funding sources interrelate.*



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# A Detailed Look at the LEA Plan

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## Overview of the LEA Plan

The LEA Plan addresses fundamental teaching and learning needs of the schools and specific academic needs of low-achieving students. For LEAs in Program Improvement (PI), this includes a determination of why the prior LEA Plan failed to bring about increased student achievement.

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## Determining LEA Plan Priorities

The LEA Plan priorities are based on an analysis of student achievement data including:

- Adequate Yearly Progress (AYP) and the Academic Performance Index (API)
- Annual Measurable Achievement Objectives (AMAO) for ELs
- Local assessment data

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In addition to state student achievement data, the LEA Plan priorities should reflect analysis of student performance on common district level assessments.



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## Determining LEA Plan Priorities (Cont.)

- For a deeper examination and analysis of state assessment data, see “What To Do With Data,” a Webinar at:  
<http://www.cacompcenter.org/cs/cacc/print/htdocs/cacc/esea-requirements.htm#data> (Outside source)

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*Trainer note: the citation source will assist in the facilitation of deep discussion about how to read state assessment results and use them for analysis of student achievement.*



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# Determining LEA Plan Priorities: Program Evaluation Tools

State program evaluation tools assist LEAs to establish LEA Plan Priorities:

- Academic Program Survey (APS)
- District Assistance Survey (DAS)
- English Learner Subgroup Self Assessment (ELSSA)
- Inventory of Services and Supports (ISS) for Students with Disabilities (SWDs)

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These four tools work together to inform the LEA about the instructional system in the schools and reveal the levels of support needed for low-achieving student groups.



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## Determining LEA Plan Priorities: Program Evaluation Tools (Cont.)

Use of the program evaluation tools is critical for conducting a thorough needs assessment.

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These tools have been developed to provide an LEA with a thorough analysis of academic needs. They are essential for conducting the needs assessment.

In PI Year I, the use of the state program evaluation tools is required. The law states that an LEA must conduct a self-assessment using material and criteria based on current research and provided by the CDE. (*Ed Code* Section 52055.57 (b)(1)(A)). The four state tools meet this requirement.



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## Determining LEA Plan Priorities: Program Evaluation Tools (Cont.)

- The *APS* measures the effectiveness of the academic program in reading/language arts and mathematics at the school site.
- The *ELSSA* measures the progress of ELs toward meeting Annual Measurable Achievement Objectives (AMAOs).

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The tools will be covered in more detail in Modules II and III. However for purposes of this module, the following should be highlighted:

- The APS is composed of nine Essential Program Components (EPCs), which comprise a systemic view of teaching and learning at a school site. It is a useful tool for both a single school and as a gauge of instructional effectiveness for a district. If the LEA is managing their LEA Plan in the California Accountability and Improvement System (CAIS), the APS should be uploaded at the School level. (More about the CAIS will be provided in an addendum at the end of this module).
- The ELSSA is a district-level measure of EL progress, and if the LEA is managing the LEA Plan in CAIS, it should be uploaded into the file cabinet at the Plan level.



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## Determining LEA Plan Priorities: Program Evaluation Tools (Cont.)

- The *ISS* measures the level and effectiveness of district support for SWDs.
- The *DAS* measures the alignment of seven areas of district work that comprise a cohesive instructional system.

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As in the previous slide, if the LEA is managing its LEA Plan in CAIS, the ISS and DAS should be uploaded to the file cabinet at the Plan level.



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State Tools may be found on the CDE Web site at

<http://www.cde.ca.gov/ta/ac/ti/stateassessmentsspi.asp>.

PowerPoint presentations discussing each tool are at the California Comprehensive Center (CA CC) Web site at

<http://www.cacompcenter.org/cs/cacc/print/htdocs/cacc/esea-requirements.htm#tools> (Outside Source).

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An examination of the four state program evaluation tools may be found at the Web sites listed, and their application in the LEA Planning process will be thoroughly explored in Module 2.



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# LEA Plan Targets and Initiatives

## The LEA Plan:

- Sets student academic targets.
- Identifies strategies to address needs of students performing below proficiency.
- Integrates all program initiatives of the district (including Title II and Title III initiatives).

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- The LEA plan defines measurable district-level strategies and tasks, timelines for completion, persons responsible, expected outcomes, and costs to organize and support increased student achievement.
- Good LEA plans identify sound operations and procedures to effectively implement day-to-day actions.



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## LEA Plan Organization

- The LEA Plan is organized around five performance goals.
- Each goal is subdivided into strategies required under ESEA.
- Each goal needs to be specific, measurable, attainable, and linked to local assessments.

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Remember the five goals from earlier slides:

1. All students (including English learners and students with disabilities) achieve proficiency or better in reading and mathematics.
2. All limited-English-proficient students reach proficiency in English.
3. All students are taught by highly qualified teachers.
4. All students are taught in a safe, drug-free learning environment.
5. All students graduate from high school.

Reminder:

Performance Goal 1 relates directly to Title I requirements.

Performance Goal 2 relates directly to Title III requirements.

Performance Goal 3 relates directly to Title II requirements.

Performance Goal 4 relates directly to Title IV requirements.

Note: the “strategies” in the LEA Plan are not to be confused with “instructional strategies.” Rather the strategies in the LEA Plan are broad categories of practices for improving student achievement, sometimes called “objectives” (i.e. alignment of instruction with content standards).



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## LEA Plan Organization (Cont.)

### The LEA Plan:

- Defines actions to address LEA strategies.
- Designates an individual responsible for each action.
- Specifies timelines to complete each action.
- Projects costs and identifies funding streams associated with each action.

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#### A note about actions:

- The defined actions that the LEA will undertake to accomplish the strategies of the LEA Plan should be a logical series of activities. These actions are written clearly and are specific. They are written in the active tense and with concrete verbs (e.g., purchase, distribute) that are easily understood and they are organized sequentially.
- Each action designates one or more individuals as responsible for implementing the activity. This individual is responsible for initiating the activity and seeing it through to completion. Note that while many individuals may be targeted for an activity (teachers, principals, parents), the LEA Plan should identify a single individual as responsible for carrying out the task.
- Please note that the term “ongoing” is not a measurable timeline. The Plan should identify a specific time period for completing each of the discreet monitoring activities described to accomplish the overall strategy. The timeline should specify the date by which each monitoring action will be completed (such as September 30, 2010) or cover the period in which the action(s) will occur, including start and end dates (such as September 1, 2010, to October 31, 2010).
- Any operational LEA Plan must take into account the costs of its proposed actions and the funding streams to cover these costs. These should be considered during the developmental stage of the Plan, not added as an afterthought when the objectives and activities have been formalized. Some actions may be cost neutral. However, if there are costs associated with an action, the source for funding the action should be identified from the start.



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# **Title I Accountability: Program Improvement**

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# Program Improvement

Under ESEA Section 1116(c)(3), an LEA that fails to make AYP for two consecutive years becomes identified for Program Improvement (PI).

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This section examines what the LEA must do when it fails to make AYP targets and enters Program Improvement (PI).

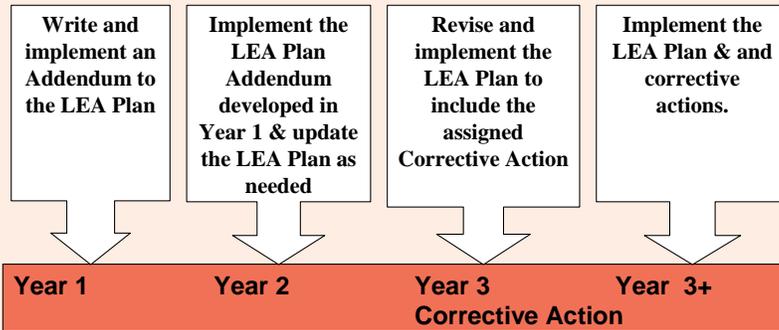
Note that as student achievement declines, state expectations for planning, receiving technical assistance, implementing activities and monitoring student achievement increase.

The definition of PI is shown on the slide. Among the LEA requirements for PI are examination and revision of the LEA Plan. The following slide illustrates the progression of tasks for LEAs in PI and the requirements for revising the LEA Plan



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# Plan Requirements for PI LEAs



Handout: Title I Program Improvement LEA Requirements

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## Facilitator's Notes:

- In PI Year 1, the LEA responds to eight requirements of ESEA. These are typically included as an **Addendum** to the existing LEA Plan. If there is no existing LEA Plan, the LEA needs to write one.
- Recall that the LEA must annually review and update its LEA Plan consistent with student achievement goals.
- When the LEA reaches PI Year 3, the existing LEA Plan is revised.

The following slides detail the progression of LEA Plan requirements illustrated in this graphic.



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## LEAs in PI Year 1

Upon notification of PI Year 1 status, the LEA will prepare and submit an LEA Plan **Addendum** which addresses why the existing LEA plan failed to bring about increased student achievement.

- A template for the Addendum is posted at <http://www.cde.ca.gov/ta/ac/ti/pirequirement.asp>.

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Typically an LEA is identified for PI based on the September release of assessment data by CDE. LEAs may also be identified for PI at other times during the year.

**AN LEA IN PI YEAR 1 DOES NOT NEED TO SUBMIT A REVISED LEA PLAN.** Ideally, the LEA submits an **ADDENDUM** to its current LEA Plan.

The eight requirements for the LEA in PI Year I are explicit in the LEA Plan Addendum template. The Web page for the template is posted on the slide.



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## LEAs in PI Year 1 (Cont.)

- After approval by the local governing board, an electronic copy of the LEA Plan Addendum is submitted to the CDE at [LEAP@cde.ca.gov](mailto:LEAP@cde.ca.gov).
- The LEA maintains an original of the signed Assurance Page at district office.
  - The timeline for submitting the Addendum is set each year by the CDE.

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The LEA Plan Addendum is normally due to CDE in December of the year of designation as PI Year 1.

Note: for LEAs managing the LEA Plan in CAIS, see the Frequently Asked Questions (FAQs) at the end of this module for instructions for downloading and printing a copy of the LEA Plan.



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## LEAs in PI Year 1 (Cont.)

The accountability requirements for LEAs newly advancing to PI Year 1 are detailed on the CDE Web site at <http://www.cde.ca.gov/ta/ac/ti/leapiyr1s.asp>.

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A complete discussion of the development of the LEA Plan Addendum occurs in Module III.



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## LEAs in PI Year 2

- Continue to implement its LEA Plan Addendum or updated LEA Plan.
- Make needed revisions to the Plan and Plan Addendum, reflecting significant changes impacting the district over the past year.



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## LEAs in PI Year 3

Revise the LEA Plan to document steps to fully implement the corrective action assigned by the State Board of Education (SBE), and additional recommendations made by a technical assistance provider or district assistance and intervention team (DAIT), if required.

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The LEA Plan for the LEA in PI Year 3 differs from the PI Year 1 requirement. The LEA must do a full revision of its existing LEA Plan.

The SBE assigns a corrective action. Historically, the initial sanction has been Corrective Action 6 (the implementation of standards-aligned instructional materials, teacher access to subject matter pedagogical training, date-driven interventions for students working below standards, etc.)

The SBE also provides authority for the CDE to issue grants for technical assistance. The SBE may require an LEA to work with a technical assistance provider or district assistance and intervention team (DAIT). If so, the standards for their work are defined at California Education Code Section 52059(e).



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## LEAs in PI Year 3 (Cont.)

- After approval by the local governing board, an electronic copy of the revised LEA Plan is submitted to the CDE at [LEAP@cde.ca.gov](mailto:LEAP@cde.ca.gov).
- The LEA maintains an original of the signed Assurance Page at the district office.

Handout: Copy of Grant Award Assurance Page

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Any LEA receiving a grant award must sign the Assurances and return them to CDE in order to trigger the release of funds. A sample copy of an LEA in PI Year 3 technical assistance grant award is provided. Take a few minutes to read through the Assurances.



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## LEAs in PI Year 3 (Cont.)

- The approved LEA Plan must be locally posted and the URL sent to CDE for posting at:  
<http://www.cde.ca.gov/ta/ac/ti/leaplanpiyr3.asp>.
- The revised LEA Plan must be **implemented** no later than the beginning of the school year following the year in which the LEA was identified as in PI. See ESEA section 1116 (c)(7)(B).

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After the local governing board approves the revised LEA Plan, it is submitted to the CDE. It is then reviewed by a trained group of CDE staff.

Once the LEA has finalized its LEA Plan, the LEA in PI Year 3 must post its LEA Plan to a local Website. The URL for this Web site is then sent to CDE where it is posted on the CDE Web site.



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## LEAs in PI Year 3 (Cont.)

The accountability requirements for LEAs newly advancing to PI Year 3 are detailed on the CDE Web site at <http://www.cde.ca.gov/ta/ac/ti/leapiyr3.asp>.



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## PI School Requirements

- The accountability requirements for schools in PI are different from those for LEAs.
- Requirements for PI schools are detailed on the CDE Web site at <http://www.cde.ca.gov/ta/ac/ti/schoolpireq.asp>.

Handouts: ESEA Program Improvement School Requirements.

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**PI SCHOOL requirements are not the same as PI LEA requirements.** It is the district's responsibility to see that their PI schools engage in the progression of required PI activities.

It is especially important to note that for the SCHOOL in advanced stages of PI (Years 3 and beyond), the requirements for improvement increase. PI Year 4 and 5 SCHOOLS are required to plan and implement restructuring or alternative governance. The Web page cited contains detailed protocols for LEA and SCHOOL responsibilities in the PI Year 4 and Year 5 improvement process.

*Facilitator's note: Participants should look over the handout and may want to discuss possible options they have used considered for alternative governance. Or they may discuss the differences between LEA in PI requirements and school level PI requirements.*



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# **Building Systemic Coherence Through the LEA Plan**

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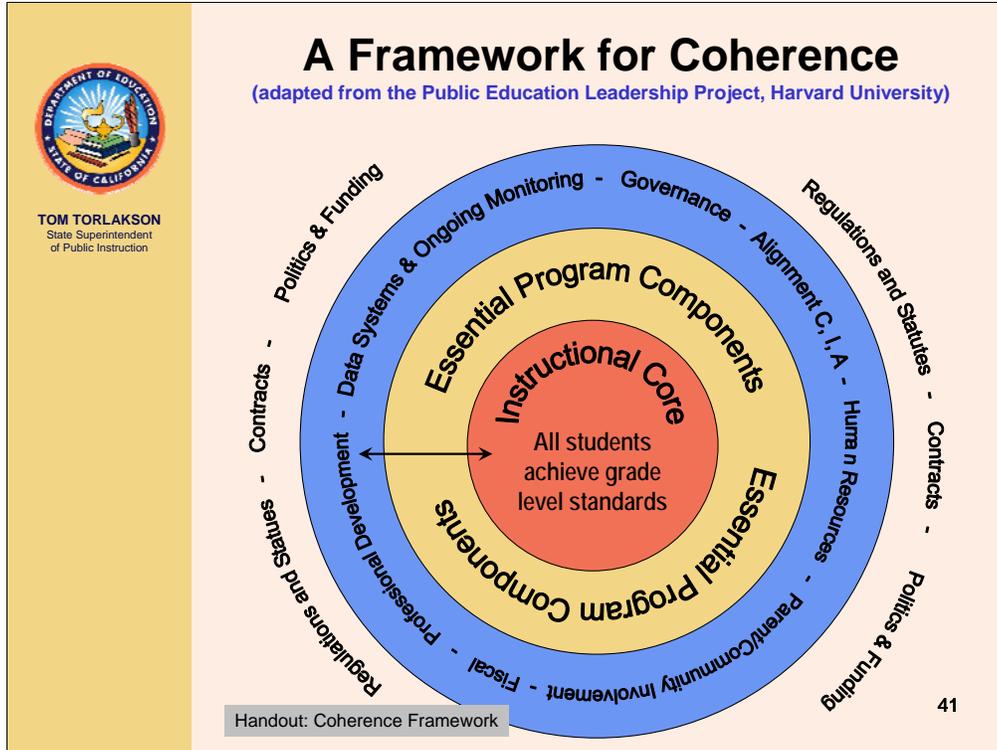
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## Districts Make a Difference!

- Highly functioning district and school leaders positively impact student achievement (Marzano and Waters, 2009)
- Through clear focus, effective use of data, human and fiscal resources, communication and “esprit de corps”, districts build their system capacity for improvement (Fullan, 2010)

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The district operates as a system, and the system for improving student achievement throughout the district is best facilitated when the LEA leadership is clearly focused. The LEA Plan is the district’s vision and focus for student improvement. It provides the frame in which schools plan for student improvement.



This graph represents the importance of alignment among district actions, the actions at the school site, and the instructional practices within the classroom. It speaks to the importance of two-way communication district-to-school site and the school site-to-the classroom.

At the center of the circle is the instructional core. All students have access to the instructional core so they can reach grade level standards.

The district (blue circle) encompasses the school. It informs the school of the destination of improvement actions and provides the roadmap. It further supplies the support required to keep the school moving in the direction of its (LEA's) improvement goals for student achievement. It is in this circle of influence that the DAS is critical to student success.

The school (yellow circle) provides a system of instruction and support for the core academic program to ensure that students receive appropriate services and that teachers receive classroom assistance and professional development required to meet student academic needs.

The classroom (orange circle) represents the instruction that students receive in the classroom. This circle must be informed by the system of instruction at the school site and the vision for implementation of improvement strategies from the district level.

The circles are permeable; that is, the functions of the district, school, and classroom are fluid, based on the factors from outside the system which will inform each school and classroom differently. Because the factors from the outside can often obscure the core function of the school, it is important to keep in mind that the circles represent a system of instruction and support. Factors emanating from the local context of the community will influence the system, but these do not interfere with the primary functions of the system.



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## Creating Coherence: Key Role of District Leadership

A direct correlation exists between district leadership and student achievement.

“Findings suggest that district leadership has a measurable effect on student achievement.” (Marzano and Waters – 2009.)

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While this is not a training about district leadership, it is important to understand the importance of leadership.

- Leadership provided from the district level is critical to student success at the classroom level.
- The district system must be guided by coherence and collaboration.
- District improvement occurs when there is a leader who is committed to implementing the best possible practices for change.

The following slide summarizes some findings from *District Leadership That Works* (2009) by Marzano and Waters.



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## Creating Coherence: Key Role of LEA Superintendent

1. Ensure collaborative goal setting.
2. Establish non-negotiable goals for student achievement and instruction.
3. Create board support for district goals.
4. Monitor achievement goals.
5. Allocate resources to support student achievement goals and instruction.

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Roles cited by Marzano and Waters, in *District Leadership That Works*, note the five key actions that effective superintendents implement.

- Gathering and facilitating the work of relevant stakeholders to set district goals.
- Leading the district in establishing a vision for the improvement of student achievement.
- Working with the local board and cabinet to establish parameters of district work.
- Maintaining an active role in monitoring the progress of goals
- Ensuring adequate staff support and funding to accomplish the district priorities.

Note that leadership for developing, implementing, and monitoring the LEA Plan are the responsibility of the superintendent, not the Categorical Program Director.



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## Creating Coherence: Collaborative Goal Setting

Effective district leaders include all relevant stakeholders in establishing non-negotiable goals for their districts.

Marzano and Waters, 2009  
*District Leadership That Works*

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Collaborative goal setting is an intrinsic feature of systemic change.



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## Creating Coherence: Collaborative Goal Setting (Cont.)

- The LEA Plan is primarily the responsibility of the superintendent and a group of relevant stakeholders.
- LEAs in PI must form a District Leadership Team (DLT) to collaboratively develop the LEA Plan.

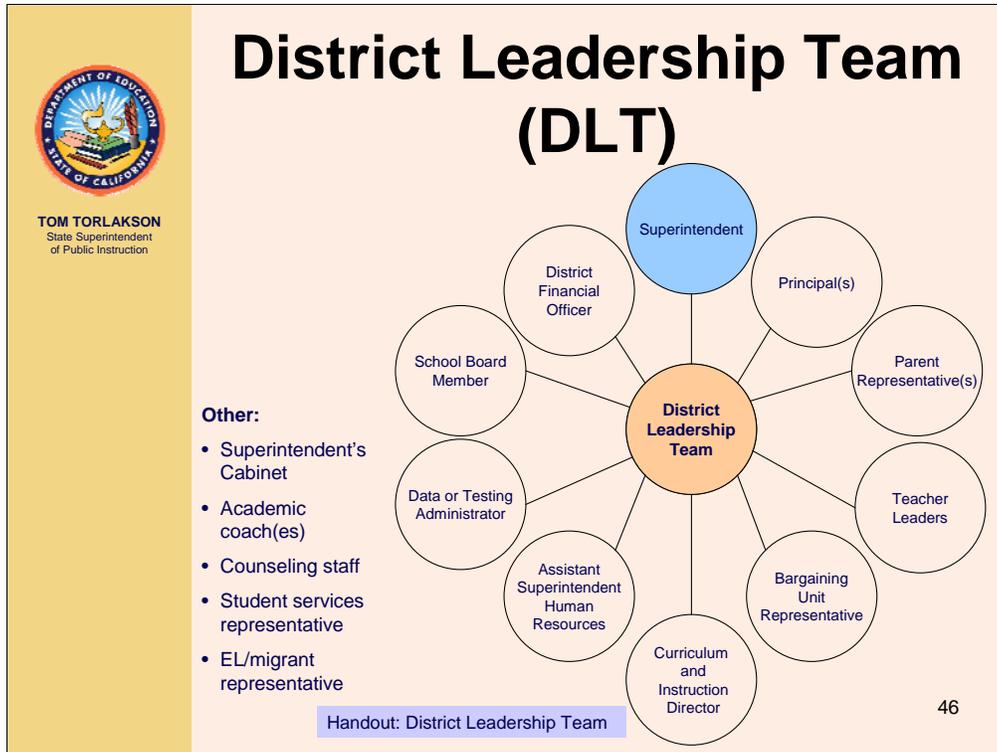
45

The LEA Plan is the responsibility of the superintendent and a group of relevant stakeholders, including but not limited to :

1. The superintendent,
2. Members of the cabinet (including curriculum and instruction, human resources, business office, special services, and data systems personnel),
3. Select principals,
4. Select teachers,
5. Representatives of parents, community,
6. And bargaining unit representation.

Once an LEA is in PI, it is required to form a District Leadership Team (DLT) composed of these individuals. It is an advisory body to the Superintendent, the cabinet, and the local board. Its primary responsibility is to develop the LEA Plan, work with schools in the implementation and monitoring of the LEA Plan, and revise the LEA Plan as necessary.

It needs to be re-iterated that the LEA Plan is not primarily the responsibility of the categorical program director.



This graph illustrates a recommended composition for a District Leadership Team to fulfill the requirements of the ESEA for writing the LEA Plan (Section 1116(c)(7)(A)). The DLT should, at minimum, have the following representation:

- Superintendent—oversees the work of the DLT and confers with the local board.
- Local Governing Board representative—works with the superintendent to ensure governance standards are addressed and monitored.
- Data administrator, human resources and other members of the cabinet to ensure representation of necessary functions are interrelated in the improvement effort.

The composition of the DLT will become more apparent in Modules II and III when participants analyze student achievement and local data and apply the DAS. It will be important for representatives of students not meeting standards to be included in the DLT or in DLT Sub committees. For example, the District English Learners Advisory Committee chair could be included.



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## Role of the DLT

The DLT functions as a district advisory and information-gathering body that:

- Defines and recommends the actions necessary to accomplish goals of the LEA Plan.
- Monitors implementation of the LEA Plan.
- Recommends revisions to the LEA Plan as necessary.

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The role of the DLT in developing and implementing the LEA Plan will be fully explicated in Modules III and IV.

The LEA Plan bridges the divide between federal and state requirements and school level implementation of those requirements to create a system of coherent support for student achievement. The next three slides describe the alignment among these three—federal and state requirements, the LEA Plan, and school site plans.



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## LEA Plan Alignment with ESEA Programs

The LEA Plan addresses key program requirements under ESEA:

- Title I: Support for low-achieving students
- Title II: Highly qualified teachers and equitable distribution of teachers
- Title III: Support for English Learners
- Title V: High school graduation

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Title I: addressed in LEA Plan, PI Year 1 LEA Plan Addendum, revised LEA Plan PI Year 3.

Title II: addressed in Performance Goal 3 of the LEA Plan. Also may be required: Equitable Distribution Plan (EDP), Compliance Monitoring Intervention, and Sanctions (CMIS) plan.

Title III: addressed in Performance Goal 2 in the LEA Plan and includes Year 2 Improvement Plan Addendum (IAP) and Year 4 Action Plan.

Note: the LEA Plan no longer requires completion of Performance Goal IV pertaining to Title IV, because Title IV is no longer funded. However, under the provisions of *Education Code* Section 51260, the law requires all LEAs to provide instruction in elementary and secondary schools by appropriately trained instructors on drug education and the effects of the use of tobacco, alcohol, narcotics, dangerous drugs, and other dangerous substances. Many LEAs will find it useful to write strategies and actions to address Performance Goal IV.

Title V: All LEAs that enroll high school students must complete Goal V.

Local measures may be included in the LEA Plan.



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## LEA Plan Alignment with ESEA Requirements (Cont.)

The LEA Plan template enables districts to “crosswalk” objectives and actions to meet Title I, Title II, and Title III requirements.

- See ESEA program alignment at <http://www.cde.ca.gov/ta/ac/ti/leapireq.asp>.

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Requirements for Title III, Year 2 and Year 4 are incorporated into Performance Goal 2 in the LEA Plan template and are aligned to the California Accountability and Improvement System (CAIS) LEA Plan management tool. (See the addendum for information on the use of CAIS to manage and monitor the LEA Plan).



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## Alignment of LEA and School Plans

All schools must align their Single Plans for Student Achievement (SPSAs) with the key priorities and goals of the LEA Plan.

- Module IV will focus on this alignment in greater detail.

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The Single Plan for Student Achievement (SPSA) is based on the goals and strategies of the LEA Plan. These two plans reflect the reciprocal relationship between district support for the school improvement goals and school alignment with district goals.

Further discussion about aligning the LEA Plan with the SPSA is in Module IV.



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# The LEA Plan in Local Context

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Because all implementation of LEA Plans is local, what are some factors that will impact a successful LEA Plan? What are some practices to cultivate in addressing such factors?



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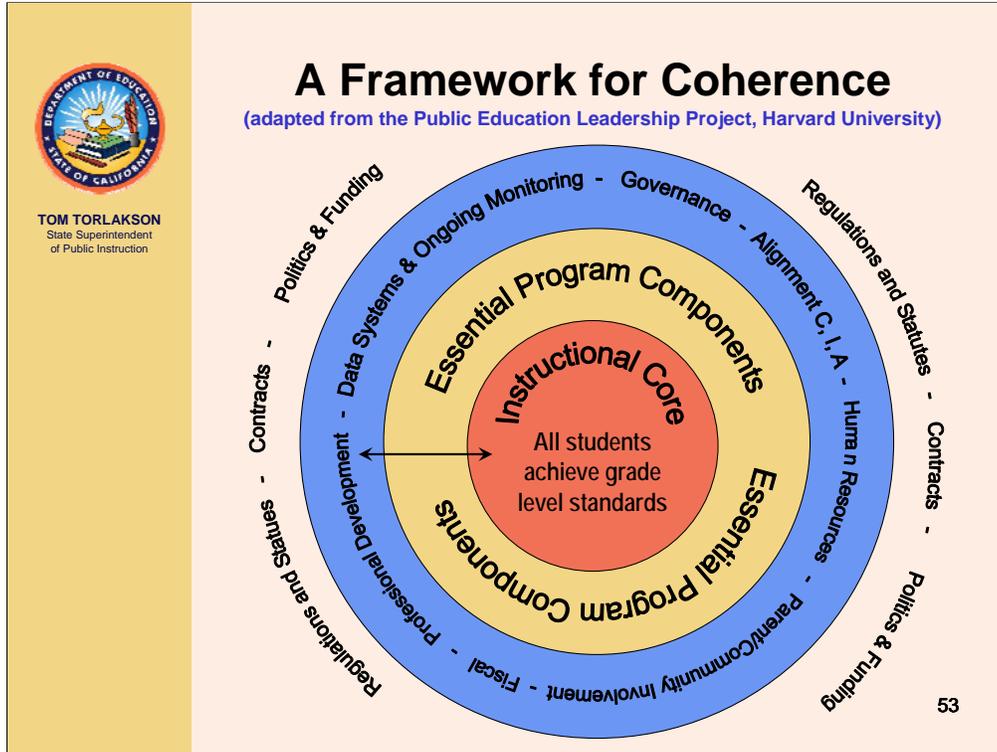
## Local Context: Setting the Stage

“Successful leaders have mastered....productive responses to the unique demands of the *context in which they find themselves.*”

(Leithwood, Seashore-Louis, Andersen, and Wahlstrom, 2004)

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This quote is drawn from a literature review commissioned by the Wallace Foundation, *How Leadership Influences Student Learning*.



*Facilitator's note: Review the circle of coherence from the earlier section. This section will address the "outside of the circle" issues. Each district has its own local context.*

Four typical concerns involving local context include –

1. Leadership
2. Beliefs
3. Demographics
4. Fiscal concerns

With the exception of Leadership, which was discussed earlier, these issues and factors are represented on the outside of the circle. Although they may exist outside of the classroom, school, and governance structure of the district, they influence the system and often present challenges to successful implementation and support for reform.

Remember: The circles are permeable. Because the factors from the outside can often obscure the core function of the school, it is important to keep in mind that the circles represent a system of instruction and support. Factors emanating from the local context of the community will influence the system, but these do not interfere with the primary functions of the system.

Take a moment to review slide 41.



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## Leadership: Effective Organizational Practices

The superintendent maintains the organizational practices in the district to support improved student achievement. These include:

- Explicit protocols and norms of conduct.
- Systems for monitoring instruction and student progress.
- Ongoing professional development for district leaders, site administrators, and teachers
- Personnel and program evaluation processes.

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- Explicit protocols and norms of conduct must be transparent and apparent to all stakeholders in the district.
- Going beyond a data system, systems for monitoring instruction and student progress will be most effective when they are collaboratively developed with relevant teaching and support staff, support staff, site administrators, students, and other stakeholders.
- Professional development should be planned and executed to target improved student achievement for all students. It should reflect the focus of the achievement objectives identified in the LEA Plan.
- The personnel evaluation processes will be dictated by labor agreements, including length and frequency of meetings, length of the school day, transfer policies and grade level changes.



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## Leadership: Effective Organizational Practices (Cont.)

- Access to standards-based curricula for all students.
- Adequate and appropriate interventions.
- Systems of support for English learners and students with disabilities.
- Formative student assessments.

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The superintendent and the cabinet should ensure that these academic priorities are fully supported in the LEA Plan and in district practice.



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## Leadership: Effective Organizational Practices (Cont.)

The superintendent creates and maintains avenues of communication among

- The local governing board
- Site administrators
- Teachers
- The collective bargaining unit
- Parents

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Communication and dialogue are critical to build a coherent instructional system to improve student achievement. Establishing clear communication with these groups of constituents is essential for building a coherent academic community.

***Discussion Prompt:*** *It is possible that some groups of adults may have aided or hindered implementation of improvement strategies in your district. Describe how communication among representatives of groups of adults have aided or hindered efforts to institute administrative or instructional change in your district or districts you are supporting.*



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## Shared Beliefs

- The superintendent communicates an unequivocal belief that every student has the capacity to succeed academically.
- The belief system is the foundation upon which all programs are built.
- These beliefs are characterized by trust, professionalism, high expectations for all students, and a focus on continuous school improvement.

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The belief that every student has the capacity to succeed academically is one that must be shared among all administrators, teachers, and staff. The superintendent must incarnate this belief.



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## Shared Beliefs (Cont.)

- Successful LEAs build a culture of shared beliefs and trust among all stakeholders.
- A resource for building a culture of trust is the Culture of Trust Survey in *Building Blocks of Integrated Academic District Support*. California County Superintendents Education Services Association (2009).

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### **Discussion Prompt:**

*Take a few moments to discuss:*

*What are some of the triumphs you have seen or heard about in building school and district cultures for continuous school improvement? Share some common characteristics you have observed.*

*What are some impediments related to beliefs you have seen or heard about that prevent continuous school and district improvement?*



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## A Few Resources on Leadership

- Marzano, R.J. and Waters, T. *District Leadership That Works* (2009).
- Fullan, M. ed. *The Challenge of Change* (2009).
- CDE, *Taking Center Stage II: School District Leadership*.  
<http://pubs.cde.ca.gov/tcsii/ch9/schldistldrshp.aspx>.

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*District Leadership That Works* by Marzano and Waters is a book based on research findings of effective LEA leaders and outlines leadership behaviors that positively impact student achievement.

*The Challenge of Change* is a compendium of articles on school leadership and systems reform.

“Culture of Trust Survey” from the CCSESA is a survey for district and school leaders to assess the climate and culture of the districts they lead and their impact in leading a district.

*Taking Center Stage II* from the CDE contains a Web page of links to articles and resources related to school leadership.



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## Some Other Factors Impacting LEA Success

- Changing student demographics
- Turnover among district leaders, site administrators, and teachers
- Changing composition of local governing boards
- Expansion of charter schools
- Budget constraints

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Some of these factors such as high turnover among staff are currently epidemic across the state. Many resources address recruiting and retaining high quality staff including the Schools Moving Up Website at <http://www.schoolsmovingup.net/cs/smu/view/tpc/4> and the American Educational Research Association Website at <http://www.aera.net>.

*Trainer note: add more Web addresses if you have some you prefer.*

The two factors that will be discussed briefly are changes in student demographics and budget constraints.



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# Demographics

Shifts in student population include:

- Changes in language dominance
- Socio-economic patterns
- Varying density of ethnic populations
- Declining or increasing enrollment
- Student mobility (migrant populations)

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*Facilitator's note: Which of these have emerged in your LEA in the past three years?*

*What impacts should they have on the LEA Plan?*



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## LEA Budget Constraints

- Less money means
  - Less to spend if what was in place remains unchanged.
  - More to spend if what was in place evolves to meet changing budgetary considerations and to target assessed student achievement needs.

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There is a common assumption that less money means fewer services and less support for educational agencies.

This is a fallacy. If what the LEA spends its funding on does not change, the LEA does indeed have less to spend. But if the LEA rethinks its funding priorities, it may have more to spend on different activities.

In the next section, we will examine some principles for allocating and spending available categorical funds to fuel the implementation of the LEA Plan objectives.



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## Local Context Impacts Implementation

- Local context will impact “*when*” some technical assistance provider recommendations can be addressed.
- However, the existence of local issues does not eliminate the need to address the recommendations.

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The voice of the external technical assistance provider can sometimes be very powerful in helping a district:

- Look at the data in new ways
- Revisit, revise or eliminate categorical programs that aren't working
- Reallocate resources in new ways
- Include school and district voices that have not been part of the improvement conversation.



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## Discussion Prompt

- Identify two context issues which impact student achievement in your district.
- Discuss what you can do to mitigate the impact of these context issues on healthy district and school improvement practices.



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# Alignment of LEA Plan and Budget

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## Aligning the Budget to the LEA Plan

All fiscal resources should be:

- Aligned to the key district priorities and initiatives identified in the LEA Plan.
- Allocated **after** the identification and prioritization of needs.

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One of the enduring weaknesses of the LEA Plan has been the lack of clarity and forethought given to the appropriate uses of categorical and general funds.

It is important for any LEA planning team, whether the cabinet or the DLT, that the chief financial officer or designee be a part of the process. It is equally important, in terms of supporting enduring academic improvement initiatives, that the goals and actions that will improve teaching and learning in the LEA be determined BEFORE making allocations for programs and staffing.

Modules II and III will discuss processes for determining academic foci for the LEA based on a thorough needs assessment.



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## Budget as Policy

### Budget allocations:

- Reflect the true priorities of the district.
- Reveal the core values and beliefs of the district.
- Set the tone and direction for all site administrators and teachers.
- Dictate what will and will not be implemented.

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Here are some observations about budgeting and LEA planning. These observations reflect the implemented actions in many districts, but unless budgets are deliberately focused, they will not achieve the goals of the LEA Plan.



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## Common Budget Pitfalls

- Significant carryover balances.
- Independent management of categorical resources.
- Little change from year to year in how resources are allocated.
- A sense that more money is a major part of the solution.
- A lack of alignment between resources and needs.

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Districts and sites with problems funding their improvement efforts often have:

- Significant carryover balances. If the district is carrying over more than the allowable each year, rethink where the money is going. This issue undermines the argument that **more is necessary**.
- Independent operation and management of categorical resources: each of the categorical programs operate out of a silo; the communication among key district staff is weak.
- Very little change year to year in how resources are allocated indicates little thought or evaluation of effectiveness of categorical program spending.
- A sense that more money is a major part of the solution. May indicate a number of HARD issues that have to be faced. (i.e. bargaining unit raises, increased benefit costs, etc.).
- A lack of alignment between resources and needs reflects some of the pitfalls above.



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# Essential Program Components (EPCs)

## The EPCs

- Serve as a unifying construct for building a budget.
- Assure alignment of available funding to address district priorities.

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The LEA Plan goals for improving student academic achievement may be considered around three or four topics, all of which are addressed in the EPCs.

Let's begin by identifying how familiar we are with the Essential Program Components and the clustering of the EPCs for implementation.

Cluster 1: EPCs 1, 2, and 3 are focused on instructional materials, instruction and intervention, and time.

Cluster 2: EPCs 4, 5, and 6 are focused on professional development for teachers and administrators and in-class support for teachers (classroom coaching).

Cluster 3: EPCs 7 and 8 describe implementation of a data management system and use of data to facilitate collaboration among staff and classroom support for improved student learning.

Cluster 4: EPC 9 describes fiscal support that undergirds implementation of all other EPCs.



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# EPCs and Funding Sources

Funding Sources By Program			
Activities (grouped by EPCs)	Programs	Students Served	Fiscal Guidance
Instructional Materials (EPCs 1, 2, 3)	Title I, Part A	Low- income, low- achieving	Formula funding based on percentage of students in poverty, usually using Free and Reduced Lunch data. May not be used to purchase core (base) program materials, including intensive intervention materials in ELA & math where the intervention is core for identified students. May be used to purchase supplementary materials and to support strategic interventions.

Handout: Funding sources for EPC support

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This table demonstrates the current major categorical funding sources and how they may be allocated to support implementation of improvement goals.

The EPCs may be jointly funded from multiple sources **DEPENDING ON THE STUDENT AUDIENCE AND THE ACTIVITY.**

*Facilitator notes: allow participants three or four minutes to look over the handout. Invite discussion among partners or table groups. If the introduction of the EPCs here is a little awkward, you may want to make the connection between the LEA Plan and funding sources by referring to the various sections of Goal 1 as a starter.*



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## Principles for Budgeting Categorical Funds

- Spend most restricted dollars first.
- Focus on priorities, and support them with funds.
- Avoid spending out of habit.
- Be compliant.
- Support cost-effective programs, not just low-cost programs.

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- Spend most restricted dollars first: explain on next slide.
- Focus on priorities and support with funds: LEA Plan determines the academic priorities; in PI these must be funded first.
- Avoid spending out of habit: "We've always spent money on the Johnny Appleseed farm field trip (county science fair busses, \_\_\_\_\_)."
- Be compliant: compliance requirements haven't changed. But once compliance has been fulfilled, consider what's left and how it can be used to maximum effect for LEA Plan implementation.
- Support cost-effective programs, not just low-cost programs: with the Chief Financial Officer (CFO) or Assistant Superintendent of Business Services, evaluate effectiveness of programs. Sometimes the CFO can tell you which programs have been effective, but he/she does not get asked.



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## Spend the Most Restricted Funds First

- Once a need has been identified, use the most restricted funding source first, i.e., Title III, EIA-LEP, Title IID Technology.
- Set aside funds for required ESEA reservations, including professional development, choice, SES, Title II A, School Improvement.
- Then use less restrictive sources, e.g., Title I Part A, ARRA, EIA-SCE, QEIA.

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### Other examples:

#### Least restricted:

- Consolidated state funds (from February, 2009 budget).
- Federal jobs fund: may be spent on activities related to salary and benefits for teachers or other school-level employee. (i.e. substitute pay and hourly compensation for teachers to attend professional development training, in-class coaching by school-level certificated staff members, buy back professional development days for teachers.) For more information see <http://www2.ed.gov/programs/educationjobsfund/index.html>.

#### Less restricted:

- Title I, Part A and American Recovery and Reinvestment Act (ARRA)
- Economic Impact Aid (EIA)-State Compensatory Education (SCE)
- Quality Education Investment Act (QEIA)

#### Restricted:

- Title I set-aside: Professional development, PI Parent choice, Supplemental Education Services (SES)
- Title II A: may be used for professional development, some class size reduction
- School Improvement Grants

#### Most restricted:

- Title III
- EIA-Limited English Proficient (LEP)
- Title IID: technology



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## Principles for Budgeting (Cont.)

- Explore all funds available to address LEA Plan priorities.
- Involve the Business Office to exercise proactive management of the budget.
- Avoid applying resources as funding arises.

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Consider all resources: Begin with the LEA Plan goals and work backwards to consider all possible funding sources to accomplish each goal. Avoid spending categorical dollars that distract from accomplishing the LEA Plan goals or grant funding that competes with accomplishing LEA Plan goals.

Ensure that the business office (CFO or CBO) is involved in LEA Planning and LEA Plan Management. Ultimately, the business office writes the check!

- Consult with the business office concerning evaluation of effective programs and practices in the LEA.
- With the business office, learn where management of funds occurs. (In LEAs that have traditionally been site-based managed, the funds may be administered at the site level.)
- Ensure that the DLT knows what the financial status of the district is:
  - General funds
  - Categorical program fund
  - Depth of cuts

Have the business office represented on the DLT as well as on the cabinet.



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## Principles for Budgeting (Cont.)

- Ensure that budgeted actions are started and completed in agreed-upon time frames.
- Ask fiscal and legal staffs to help determine the difference between **legal** and **local** constraints.

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For Title II and Title III, consult the district Human Resources department. Title II funds may be used for professional development, and support for the equitable distribution of teachers. (See CDE Web page at [www.cde.ca.gov/nclb/sr/tq/documents/nclbresourceguide.doc](http://www.cde.ca.gov/nclb/sr/tq/documents/nclbresourceguide.doc).)

Title III funds some types of support services to English Learners. (See CDE Web page at [www.cde.ca.gov/sp/el/t3](http://www.cde.ca.gov/sp/el/t3)).



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## Supplement, Not Supplant

- The core program is provided for **all** students as part of the required program (e.g., teachers, core curriculum materials).
- Categorical funds supplement the core, funding programs and services:
  - Above and beyond the core.
  - Not previously funded from a state or local resource.

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For example, districts use their Instructional Materials Funds to purchase core adoptions. However, based upon data about students performance, they may use Title I categorical funds to provide additional intervention materials.

The key question is: If Title I funds were removed, what would be the same in all schools? For example, if all elementary schools, including non-Title I schools, have a vice-principal, the district may not use Title I funds to pay for the vice-principal in a Title 1-funded school. However, if none of the schools has a vice-principal and the school plan justifies a vice-principal to organize interventions in the Title I school, then Title I funds may be used for this position. Doing so must be documented in the SPSA and be based on data about the rationale for the position.



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# Hierarchy of Funding

<b>Supplement<sup>3</sup></b>	<u>Super Targeted</u> Migrant Education
<b>Supplement<sup>2</sup></b>	<u>Targeted Supplemental Resources</u> Title III and EIA-LEP (Examples: Like general supplemental, but targeted and in addition to)
<b>Supplement</b>	<u>General Supplemental Resource</u> Title I and EIA-SCE (Examples: Intervention, supplemental materials, counselors, staff development)
<u>Core – General Operations &amp; Required Program Elements</u> Unrestricted General Fund (Examples: Regular classroom teachers and core textbooks)	

Used with permission: Jannelle Kubinec; School Services of CA, 2007

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Based on the information in slides 71-75 and the handout shown on slide 70, which funds should be allocated first? What are some of the restrictions on spending these resources?



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## Resources on Supplanting

For guidance on supplanting, see <http://www2.ed.gov/programs/titleiparta/fiscalguid.doc> (Outside source).



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## Other Budget Resources

Cat Wizard (School Services of California)

[http://www.sscal.com/catwizard/lookup\\_form.cfm](http://www.sscal.com/catwizard/lookup_form.cfm) (Outside Source).

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Source for funding with examples of permissible uses of selected categorical funds.



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## Other Budget Resources (Cont.)

*Building a Better Budget (2007)*. A Webinar presented by Jannelle Kubinec, School Services of California, and Lori Van Houten, WestEd, can be found at the WestEd Resource Allocation to Support Student Achievement Web page at <http://www.schoolsmovingup.net/cs/smu/view/e/1402> (Outside Source) <sup>79</sup>

Slides for fiscal information are courtesy of Jannelle Kubinec.



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## Other Budget Resources (Cont.)

*LEA Level Budgeting for Improvement Plan Development (2010)*. A Webinar presented by Jannelle Kubinec, School Services of California, can be found at the CA CC at WestEd Web site at <http://www.cacompcenter.org/cs/t3y4p/print/htdocs/t3y4/events.htm>  
(Outside Source)



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## LEA Plan Technical Assistance

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- *Title III: Carlos Rivera at [CRivera@cde.ca.gov](mailto:CRivera@cde.ca.gov)*



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## Closing Thought

A successful person is one who can lay a firm foundation with the bricks that others throw at him or her.

~David Brinkley