**THIS DOCUMENT IS FOR REFERENCE ONLY.**

**PLEASE DO NOT SUBMIT THIS DOCUMENT TO THE CALIFORNIA DEPARTMENT OF EDUCATION.**

# 2021–22 Every Student Succeeds Act Comprehensive Support and Improvement County Office of Education Plan Approval Application for Funding

**Due: February 28, 2022**

## Application Overview

**Purpose**

The Budget Act of 2021 appropriates $5 million of Every Student Succeeds Act (ESSA), Section 1003 funds for County Offices of Education (COEs) for the purposes of review and approval of 2022–23 Comprehensive Support and Improvement (CSI) plans through the CSI prompts in the 2022–23 local educational agency (LEA) Local Control and Accountability Plan (LCAP).

**The California Department of Education (CDE) is accepting applications from COEs with an LEA or LEAs in its county that serve schools eligible for CSI based on 2021–22 ESSA Assistance Status Data Files.**

The 2021–22 ESSA Assistance Status Spreadsheet is located at <https://www.cde.ca.gov/sp/sw/t1/essaassistdatafiles.asp>.

### Statutory Authority

ESSA Section 1003–School Improvement (<https://go.usa.gov/xfAWr>), pages 9 through 11.

ESSA Section 1111(d)(1)–Comprehensive Support and Improvement (<https://go.usa.gov/xfAC2>), pages 33 through 35.

Senate Bill 170 Budget Act of 2021 Item 6100-134-0890 Provision 11 of Schedule 2 is located at <https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=202120220SB170>.

### Subgrant Information

Section 1111(d)(1)(B) of the Elementary and Secondary Education Act as amended by the ESSA requires LEAs, in partnership with educational partners, to develop and implement a CSI plan to improve student outcomes for each school eligible for CSI. ESSA Section 1111(d)(1)(B)(v) requires these plans to be approved by the school, the LEA, and the state educational agency (SEA). For the purposes of ESSA, the California State Board of Education (SBE) serves as the SEA.

Summaries of LEA CSI plans are captured through LEA responses to the CSI prompts in the LCAP. Coupled with approval from COEs, these summaries serve as the mechanism for SBE approval and ensure the SEA meets its federal requirement to approve CSI plans pursuant to ESSA, Section 1111(d)(1)(B)(v). In California, CSI plans are approved through the LCAP and School Plan for Student Achievement (SPSA) processes. Beginning at the school level, the LEA works collaboratively with the school site council at each eligible school in developing the SPSA; the SPSA includes the CSI planning requirements, and is approved by the governing board of the LEA. At the LEA level, the LEA reports its efforts to support its eligible schools in developing, monitoring, and evaluating the implementation and effectiveness of the CSI plan within its LCAP Plan Summary.

LEAs with schools eligible for CSI are required to complete three prompts in their LCAPs. These prompts serve as the LEA’s CSI Plan summaries for all of their CSI schools. The prompts are:

1. Identify the schools within the LEA that have been identified for CSI.
2. Describe how the LEA supported the identified schools in developing CSI plans that included a school-level needs assessment, evidence-based interventions, and the identification of any resource inequities to be addressed through the implementation of the CSI plan.
3. Describe how the LEA will monitor and evaluate the implementation and effectiveness of the CSI plan to support student and school improvement.

For school districts, the LCAP, including the required CSI prompts, are subsequently approved by its local COE. Charter schools eligible for CSI complete the CSI prompts within its LCAP and submit those prompts to the COE of the county in which the charter school resides for approval.

### Funding Information

The Budget Act of 2021 appropriates $5 million in fiscal year (FY) 2021 ESSA, Section 1003 funds to COEs for the purposes of review and approval of 2022–23 CSI plans through the CSI prompts in the 2022–23 LEA LCAP. Funds are allocated to each eligible COE through a formula that takes into consideration the number of schools eligible for CSI, statewide. Funds are available for a period beginning March 14, 2022, and ending September 30, 2023.

### Eligibility Requirements

An applicant must be a COE with at least one LEA in its county that serves schools eligible for CSI based on the 2021–22 ESSA Assistance Status Data Files. An LEA is defined as a county office of education, school district, or direct-funded charter school.

In 2021, California received a federal waiver and was not required to report performance levels (or colors) on the 2021 California School Dashboard. Because these data are not available, determination of exit from the CSI–Lowest Performing Schools was not possible. Therefore, schools designated in either category in 2019–20 remain in place through 2021–22. However, LEAs were required to report graduation rate data which California used to determine if those schools designated as CSI–Low Graduation Rate in 2019–20 were eligible to exit. Schools with a three-year (i.e., 2018–19, 2019–20, and 2020–21 school years) average graduation rate at or above 68 percent exited the CSI–Low Graduation Rate Schools category.

The 2021–22 ESSA Assistance Status Spreadsheet is located at <https://www.cde.ca.gov/sp/sw/t1/essaassistdatafiles.asp>.

CSI criteria and program information are located at <https://www.cde.ca.gov/sp/sw/t1/csi.asp>.

### Allowable Activities and Costs

Funds authorized under this subgrant shall be spent on the review and approval of 2022–23 CSI plans through the CSI prompts in the 2022–23 LEA LCAP.

Regardless of whether or not the COE elects to accept funding authorized under this application, the COE is required to review and approve 2022–23 CSI plans through the CSI prompts in 2022–23 LEA LCAP for those LEAs in its county with schools eligible for CSI. The CSI prompt LCAP approval process was approved by the SBE in January 2019 which authorizes COEs to assist the SBE in meeting its statutory obligation to approve CSI Plans, consistent with Section 1111(d)(1)(B)(v) of the ESSA. Responses to these prompts constitute summaries of the LEA’s CSI plans and coupled with COE or CDE approval, as applicable, serve as the mechanism for SBE approval. The COE is working on behalf of the SBE to meet the ESSA SEA requirement to approve LEA CSI Plans.

The COE will only be reimbursed for actual work performed.

Federal planning requirements are established in the California *Education Code* Section 64001 (<https://go.usa.gov/xdcE6>) and the LCAP Template located on the LCAP web page of the CDE website.

Plan instructions for the 2022–23 LCAP and SPSA are located at <https://www.cde.ca.gov/re/lc/>.

CSI program requirements and information are located at <https://www.cde.ca.gov/sp/sw/t1/csi.asp>.

### Disallowable Activities and Costs

The use of federal funds, including FY 2021 ESSA, Section 1003 funds must be consistent with the Office of Management and Budget’s (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. OMB information is located at <https://www.grants.gov/web/grants/learn-grants/grant-policies/omb-uniform-guidance-2014.html>.

For federal guidance on Supplement not Supplant for school improvement, see question 29a, page 21 to 22 located at <https://go.usa.gov/xdcPV>.

Note: The use of federal funds must be consistent with the OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; ESSA requirements; and requirements in 2021–22 ESSA CSI COE Plan Approval Application for Funding.

### Subgrant Reporting Requirements

Actual expenditures for each performance period within the grant period shall be reported to the CDE as part of regular grant management and administration and monitoring. The table below details reporting information and timelines for FY 2021 ESSA, Section 1003 funds for the purposes of review and approval of 2022–23 CSI plans through the CSI prompts in the 2022–23 LEA LCAP.

| **Report Name** | **Reporting Data** | **Performance Period** | **Reporting Due Date** |
| --- | --- | --- | --- |
| Report 1 | * Budget Revisions (BR) * Expenditures (E) | March 14, 2022, to June 30, 2022 | July 15, 2022 (BR) July 31, 2022 (E) |
| Report 2 | * Budget Revisions (BR) * Expenditures (E) | July 1, 2022, to September 30, 2022 | October 15, 2022 (BR) October 31, 2022 (E) |
| Report 3 | * Budget Revisions (BR) * Expenditures (E) | October 1, 2022, to January 30, 2023 | February 15, 2023 (BR) February 28, 2023 (E) |
| Report 4 | * Budget Revisions (BR) * Expenditures (E) | February 1, 2023, to June 30, 2023 | July 15, 2023 (BR) July 31, 2023 (E) |
| Final Report | * Budget Revisions (BR) * Expenditures (E) | July 1, 2023, to September 30, 2023 | October 15, 2023 (BR) October 31, 2023 (E) |

COE expenditures will be submitted for each required report. When expenditure amounts claimed for object codes are in excess of 10 percent of the last approved budget, a project budget revision request is required to be submitted. Budget revision requests require CDE approval and are due no later than 15 business days prior to the expenditure reporting due date. Budget revision requests must be submitted using the Grant Management and Reporting Tool (GMART) at <https://www3.cde.ca.gov/gmart/gmartlogon.aspx>.

Given the work authorized under this application that the COE will perform and the timeline of that work, the COE may find that it has expended all funds prior to the final performance period noted in the table above. In this case, the COE should contact the School Improvement and Support Office by phone at 916-319-0833 as soon as possible to discuss final reporting requirements.

The CDE will provide additional guidance on the reporting requirements by spring 2022. If the CDE does not receive the required reports, funding may be delayed or the CDE may bill the COE to recover funds already allocated.

### Apportionments

The first FY 2021 ESSA, Section 1003 apportionment is 50 percent of the total COE allocation and is based on an approved 2021‒22 ESSA CSI COE Plan Approval Application for Funding. Subsequent apportionments will be based on claimed expenditures less prior cumulative apportionments.

The acceptance and approval of reported expenditures do not preclude the CDE in any way from conducting program monitoring or audits.

The CDE will process apportionments after the final date of each reporting period. The COE can expect to receive apportionments approximately two months after the reporting period closes.

### Application and Funding Results Timeline

| **Activity** | **Due Date** |
| --- | --- |
| Funding Profile Posted to the CDE Web Page | December 2021 |
| The 2021–22 ESSA Assistance Status Spreadsheet available *(indicate CSI high schools that exited CSI low-graduation status)* | Early 2022 |
| 2021–22 ESSA CSI COE Plan Approval Application for Funding Release Date | February 7, 2022 |
| 2021–22 ESSA CSI COE Plan Approval Application for Funding Webinar | February 10, 2022, at 10 a.m. |
| 2021–22 ESSA CSI COE Plan Approval Application for Funding Due to the CDE | February 28, 2022, by 4 p.m. |
| 2021–22 ESSA CSI COE Plan Approval Application for Funding review by CDE Staff | March 2022 |
| Funding Results and Schedule of Apportionments Posted to the CDE Web Page | April/May 2022 |

### Technical Assistance

The CDE will conduct a guidance webinar to support the completion of the 2021–22 ESSA CSI COE Plan Approval Application for Funding. The webinar will be conducted on February 10, 2022, at 10 a.m. Communications regarding the webinar will be emailed to eligible COEs prior to the webinar.

### Application Process

The 2021–22 ESSA CSI COE Plan Approval Application for Funding is a web-based application that includes four sections: (1) General Assurances, Certifications, Terms, and Conditions; (2) COE Applicant Information; (3) Project Budget; and (4) Signatures and Submission.

In order to receive FY 2021 ESSA, Section 1003 funding for the purposes of review and approval of 2022–23 CSI plans through the CSI prompts in the 2022–23 LEA LCAP, each eligible COE must complete and submit the 2021–22 ESSA CSI COE Plan Approval Application for Funding to the CDE by the date specified in the Application and Funding Results Timeline. The COE will receive email confirmation upon submission. The CDE will review each COE application.

**2021–22 Every Student Succeeds Act  
 Comprehensive Support and Improvement   
County Office of Education Plan Approval  
Application for Funding**

## Section 1: General Assurances, Certifications, Terms and Conditions

General assurances, certifications, terms, and conditions are requirements of applicants and sub-recipients as a condition of receiving funds. The signed application submitted to the California Department of Education (CDE) is a commitment to comply with the general assurances, certifications, terms, and conditions associated with the subgrant.

### General Assurances and Certifications

The general assurances and certifications are available on the CDE Funding Forms web page at <https://www.cde.ca.gov/fg/fo/fm/generalassurances2020.asp>.

**Note**: Applicants do not need to sign and return the general assurances and certifications with the funding application. Instead, applicants must download the general assurances and certifications to keep them on file and available for compliance reviews, complaint investigations, or audits.

### Terms and Conditions

The 2021–22 Every Student Succeeds Act (ESSA) Comprehensive Support and Improvement (CSI) County Office of Education (COE) Plan Approval Application for Funding must be electronically signed by the authorized designee of the COE and submitted to the CDE using the web-based application.

All funds must be encumbered, expended, and legally obligated within the dates designated and must not exceed the maximum amount indicated in the Apportionment Letter.

On behalf of the applicant agency, the Authorized Signature or Designee and all co-applications (if applicable) hereby agree to and certify the following:

1. The COE agrees that fiscal year 2021 ESSA, Section 1003 funds allotted under this application shall be used only for costs associated with 2022–23 CSI plan approval through the review and approval of the CSI prompts in the 2022–23 local educational agency (LEA) Local Control and Accountability Plan (LCAP).
2. The COE will submit a list of LEAs with approved CSI prompts, including the dates of approval, to the CDE at such time, in such form, and including such information as the CDE may require.
3. The COE will not increase its allotment under this application with ESSA, Section 1003 funds received by the COE for the purposes of supporting 2022–23 CSI plan development and implementation activities for LEAs.
4. Regardless of whether or not the COE elects to accept funding authorized under this application, the COE agrees to review and approve 2022–23 CSI plans through the CSI prompts in the 2022–23 LEA LCAP for those LEAs in its county with schools eligible for CSI.

**2021–22 Every Student Succeeds Act  
 Comprehensive Support and Improvement   
County Office of Education Plan Approval  
Application for Funding**

## Section 2: County Office of Education Applicant Information

XYZ County

Preliminary Fiscal Year (FY) 2020 Allocation Amount: $$$

County/District Code 00 00000

National Center for Educational Statistics (NCES): XXXXXXX DUNS: XXXXXXXX

The California Department of Education (CDE) will prepopulate the above information from the county office of education (COE) into the Grant Management and Reporting Tool. In order to proceed, the COE will be required to confirm the accuracy of this information. If the information is correct, the COE will be allowed to enter the contact information required below. If the prepopulated information is incorrect, the COE will be instructed to contact the School Improvement and Support Office for assistance at 916-319-0833.

Applicant Information can be verified on the California School Directory web page at <https://www.cde.ca.gov/schooldirectory/>.

The Preliminary FY 2021 Allocation Amount for the COE can be verified on the CDE Comprehensive Support and Improvement COE Fiscal Information web page at <https://www.cde.ca.gov/fg/fo/r16/csicoefundingresults.asp>.

COEs can verify their Data Universal Numbering System (DUNS) number through the Online Public Update for Schools web page located at <https://www3.cde.ca.gov/opuscds/default.aspx>.

COEs will provide the following contact information for the Primary, Secondary, and Fiscal Coordinators. If the COE only has a Primary Grant Coordinator, please duplicate that information for the Secondary Grant Coordinator.

* First and Last Name
* Title
* Phone
* Extension
* Email
* Fax

**2021–22 Every Student Succeeds Act  
 Comprehensive Support and Improvement  
County Office of Education Plan Approval  
Application for Funding**

### Section 3: Project Budget

### Instructions for Completing the 2021–22 Proposed Project Budget

A proposed project budget is required as part of this application. The fiscal year (FY) 2021 subgrant funds must support the requirements of the subgrant. All expenditures must be allowable activities and costs as outlined in the 2021–22 Every Student Succeeds Act Comprehensive Support and Improvement County Office of Education (COE) Plan Approval Application for Funding. The 2021–22 Proposed Project Budget must be approved by the California Department of Education (CDE).

**Note:** Final COE allocations will be determined by the first reporting period. At that time, the COE will be required to revise its 2021–22 Project Budget according to the final funding results.

**Grantee Name and Preliminary FY 2021 Allocation Amount:** The name of the COE and preliminary FY 2021 allocation amount is prepopulated for your convenience.

**Object Code:** Section 41010 of the Education Code requires local educational agencies to follow the definitions, instructions, and procedures in the California School Accounting Manual (CSAM). The CSAM Object Codes and Definitions can be found on the CDE CSAM web page located at <https://www.cde.ca.gov/fg/ac/sa/documents/csam2019complete.pdf> on pages 330-2 through 330-13.

**Amount**: Enter the total amount budgeted for each Object Code. Do not leave any fields blank. Enter $0.00 if the COE does not have a budgeted amount in an Object Code. All proposed costs must directly align to and fully support the allowable use of funds described in this application.

**Expenditure Justification**: Provide an expenditure justification for all proposed expenditures within the following Object Codes. The justifications should directly align to the allowable use of funds described in this application and include how the costs are necessary and reasonable to execute the subgrant requirements:

* 1000s—List the Certificated Personnel title(s), Full Time Equivalent (FTE), and amount funded
* 2000s—List the Classified Personnel title(s), FTE, and amount funded
* 3000s—List the title(s) of Certificated and/or Classified Personnel receiving benefits
* 4000s—List Books and Supplies
* 5000s—List Services and Other Operating Expenditures

**Indirect Cost Rate**: For the 2021–22 indirect cost rates, use the CDE’s approved indirect cost rates found on the CDE Indirect Cost Rates web page at <https://www.cde.ca.gov/fg/ac/ic/>.

**Sub-agreements over $25,000**: Indirect cost guidelines allow that up to $25,000 of each individual sub-agreement may be coded to Object Code 5800, Professional/Consulting Services and Operating Expenditures, with the remainder charged to Object Code 5100—Sub-agreements over $25,000.

**Total Budget Amount**: The Total Budget Amount must match the FY 2021 Preliminary Allocation Amount.

| **County Office of Education** | **FY 2021 Preliminary Allocation Amount** |
| --- | --- |
| [COE name] | [$0.00] |

| **Object Code** | **Amount** | **Expenditure Description** |
| --- | --- | --- |
| 1000–1999 Certificated Personnel Salaries | [$0.00] | [Justification narrative] |
| 2000–2999 Classified Personnel Salaries | [$0.00] | [Justification narrative] |
| 3000–3999 Employee Benefits | [$0.00] | [Justification narrative] |
| 4000–4999 Books and Supplies | [$0.00] | [Justification narrative] |
| 5000–5999 Services and Other Operating Expenditures | [$0.00] | [Justification narrative] |
| 7310 Indirect Cost (2019–20 Indirect Cost Rate) | [$0.00] | n/a |
| 5100 (Sub-agreements over $25,000) | [$0.00] | [Justification narrative] |
| **Total Budget Amount** | [$0.00] | n/a |

**2021–22 Every Student Succeeds Act  
 Comprehensive Support and Improvement  
County Office of Education Plan Approval  
Application for Funding**

## Section 4: Signatures

### ASSURANCES/CERTIFICATIONS/TERMS/CONDITIONS

**The following statements must be acknowledged:**

* As the duly authorized designee of the applicant, I have read all assurances, certifications, terms, and conditions associated with the 2021–22 Every Student Succeeds Act Comprehensive Support and Improvement County Office of Education (COE) Plan Approval Application for Funding and I agree to comply with all requirements as a condition of funding.
* I certify that all applicable state and federal rules and regulations will be observed and that to the best of my knowledge, the information contained in this application is correct and complete.

### SIGNATURE

By signing this application electronically, the County Office Superintendent or authorized designee, agree that their electronic signature is the legally binding equivalent to their handwritten signature. The COE will provide the following information:

* COE Name
* First and Last Name
* Title
* Date
* Email
* Phone Number

The California Department of Education is not able to modify the application information after submission. Incomplete or late applications may delay funding.

California Department of Education  
January 2022