School Improvement Grant Programmatic and Fiscal Requirements

Orientation for Subgrantees
November 30, 2016

Presented by
School Turnaround Office
California Department of Education
Agenda

• Brief Overview

• Implementation Requirements
  – Planning Year Focus
  – Tips for Success

• Monitoring Requirements
  – Annual Renewal
  – Site Visits
  – Data Collections

• Programmatic Revision Requirements
Agenda (Cont.)

- Fiscal Requirements and Procedures
  - Expenditure Reports
  - Budget Revisions
  - Submissions
  - Payment Schedules
  - Year-end Closeout
  - Carryover
  - GMART
Brief Overview: Acronyms and Initialisms

- **CDE**—California Department of Education
- **ED**—U.S. Department of Education
- **CA SDIM**—California State-determined Intervention Model
- **FY**—Fiscal Year
- **SY**—School Year
- **GAN**—Grant Award Notification
- **LEA**—Local Educational Agency
Brief Overview: Acronyms and Initialisms (Cont.)

• **XLS**—Excel Spreadsheet
• **SIG**—School Improvement Grant
• **GMART**—Grant Monitoring and Reporting Tool
• **CSO**—Charter School Operator
• **CMO**—Charter Management Organization
• **EMO**—Educational Management Organization
Brief Overview:

Cohort 4 Summary

- 11 Local Educational Agencies
- 26 Schools
- 17 Elementary, 3 Middle, 4 High, 1 K-8, 1 7-12,
- 21 California State-determined Intervention Model, 5 Restart Model
Brief Overview: LEA Assignments

<table>
<thead>
<tr>
<th>Name, Title, E-mail, Phone Number</th>
<th>Assigned LEAs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Julia Agostinelli Consultant</td>
<td>TBD</td>
</tr>
<tr>
<td><a href="mailto:JAgostinelli@cde.ca.gov">JAgostinelli@cde.ca.gov</a> 916-319-0322</td>
<td></td>
</tr>
</tbody>
</table>
### Brief Overview: LEA Assignments

<table>
<thead>
<tr>
<th>Name, Title, E-mail, Phone Number</th>
<th>Assigned LEAs</th>
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</thead>
<tbody>
<tr>
<td>Linda Moscatelli</td>
<td>TBD</td>
</tr>
<tr>
<td>Consultant</td>
<td></td>
</tr>
<tr>
<td><a href="mailto:LMoscatelli@cde.ca.gov">LMoscatelli@cde.ca.gov</a></td>
<td></td>
</tr>
<tr>
<td>916-445-1256</td>
<td></td>
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</table>
**Brief Overview: LEA Assignments**

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<tr>
<th>Name, Title, E-mail, Phone Number</th>
<th>Assigned LEAs</th>
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<tbody>
<tr>
<td>Kevin Donnelly</td>
<td>TBD</td>
</tr>
<tr>
<td>Governmental Analyst (Fiscal)</td>
<td></td>
</tr>
<tr>
<td><a href="mailto:KDonnelly@cde.ca.gov">KDonnelly@cde.ca.gov</a></td>
<td></td>
</tr>
<tr>
<td>916-324-3278</td>
<td></td>
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<tr>
<td>Robert Bernstein</td>
<td>TBD</td>
</tr>
<tr>
<td>Governmental Analyst (Fiscal)</td>
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</tr>
<tr>
<td><a href="mailto:RBernstein@cde.ca.gov">RBernstein@cde.ca.gov</a></td>
<td></td>
</tr>
<tr>
<td>916-319-0307</td>
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## Brief Overview: Implementation Phases

<table>
<thead>
<tr>
<th>Phases of Implementation</th>
<th>Phase Length</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning Year</td>
<td>Up to one year maximum</td>
<td>Local educational agencies (LEAs) may use the 2016–17 school year (SY) for planning and other pre-implementation activities.</td>
</tr>
<tr>
<td>Implementation Years</td>
<td>Three years minimum</td>
<td>LEAs must use at least three school years for full implementation of the selected intervention model.</td>
</tr>
<tr>
<td>Sustainability Year(s)</td>
<td>Up to two years maximum</td>
<td>The last two years of School Improvement Grant implementation may be sustainability years.</td>
</tr>
</tbody>
</table>
Implementation Requirements: Planning Year Focus

- Instructional Programs
- Professional Development and Support
- Staffing
- Family and Community Engagement
- Reviewing, Screening, and Selecting External Service Providers
- Defining and establishing the California State Determined Intervention Model (CA SDIM) Lead Partnership Relationship
Planning Year Focus: Instructional Programs

Suggested uses for planning year activities include:

• Identifying and purchasing instructional materials that are research-based and aligned with state academic standards, and have data-based evidence of raising student achievement.

• Incorporating the use of evidence-based strategies into the instructional program. Evidence-based strategies are based on research data and are proven to improve academic performance.
  
  o Evidence-based strategy means a strategy supported by at least moderate evidence of effectiveness as defined in 34 CFR 77.1.
Suggested uses for planning year activities include:

• Compensating staff for instructional planning, such as; examining student data; developing a curriculum that aligns vertically from one grade level to another, and to state standards; collaborating within and across disciplines; and devising student assessments; and

• Providing supplemental remediation and enrichment to students through programs with evidence of raising achievement.
Planning Year Focus: Professional Development and Support

Suggested uses for planning year activities include:

- Training staff on the new or revised instructional programs and policies aligned with the schools intervention model.

- Providing instructional support for returning and new staff, including but not limited to; coaching, structured common planning time, consultation with outside experts, observations of classroom practice, and mentoring.

- Preparing for accountability measures by developing and/or piloting a data system, analyzing data on baseline indicators, and developing/adopting interim assessments for use.
Planning Year Focus: Family and Community Engagement

What is meant by the phrase “family and community engagement”?

- In general, family and community engagement means strategies to increase the involvement and contributions, in both school-based and home-based settings, of parents and community partners that are designed to support classroom instruction and increase student achievement; and

- Must be implemented on an ongoing basis, beginning with the LEA application process, planning and pre-implementation, and continuing throughout the duration of the grant.
Planning Year Focus: Family and Community Engagement (Cont.)

Suggested uses for planning year activities include:

- Holding community meetings to review school performance, discuss the school intervention model to be implemented, and develop school improvement plans in line with the intervention model selected;

- Surveying students and parents to gauge needs of students, families, and the community;

- Communicating with parents and the community about school status, improvement plans, choice options, and local service providers for health, nutrition, or social services through press releases, newsletters, newspaper announcements, parent outreach coordinators, hotlines, and direct mail;
Planning Year Focus: Family and Community Engagement (Cont.)

Suggested uses for planning year activities include:

- Assisting families in transitioning to new schools if their current school is implementing the Closure Model by providing counseling or holding meetings specifically regarding their choices;

- Holding open houses or orientation activities specifically for students attending a new school if their prior school is implementing the Closure Model.
Planning Year Focus: Reviewing, Screening, and Selecting External Service Providers

The U.S. Department of Education (ED) requires LEAs to:

• Conduct rigorous performance reviews of all external service providers in the Restart Model, as well as in the other models throughout the period of the SIG grant.

• Use the planning and pre-implementation period to conduct a robust screening and hiring process, including developing a request for proposal and drafting language to be included in a Memorandum of Understanding, contract, or other agreement with providers regarding the LEA’s expectations for how the providers will perform, and be evaluated, throughout the period of the grant.
Planning Year Focus: Reviewing, Screening, and Selecting External Service Providers (Cont.)

Charter Schools:

• The purpose of the rigorous review process is to provide an LEA with an opportunity to ensure that the charter school operator (CSO), charter management organization (CMO), or education management organization (EMO) will use this model to make meaningful changes in a school.

• The rigorous review process must include a determination by the LEA that the selected CSO, CMO, or EMO is likely to produce strong results for the school.
Planning Year Focus: Reviewing, Screening, and Selecting External Service Providers (Cont.)

Charter Schools Only:

In making the determination, the LEA must consider the extent to which the schools currently operated or managed by the selected CSO, CMO, or EMO, if any, have produced strong results over the past three years (or over the life of the school, if the school has been open for fewer than three years), including:

- Significant improvement in academic achievement for all of the groups of students described in section 1111(b)(2)(C)(v) of the Elementary and Secondary Education Act (ESEA);
Planning Year Focus: Reviewing, Screening, and Selecting External Service Providers (Cont.)

- Success in closing achievement gaps, either within schools or relative to all public elementary school and secondary school students statewide, for all of the groups of students described in section 1111(b)(2)(C)(v)(II) of the ESEA;

- High school graduation rates, where applicable, that are above the average rates in the state, for the groups of students described in section 1111(b)(2)(C)(v) of the ESEA; and

- No significant compliance issues, including in the areas of civil rights, financial management, and student safety.
Planning Year Focus: Reviewing, Screening, and Selecting External Service Providers (Cont.)

All Other External Service Providers must also be screened for their quality.

- The purpose of such screening is similar to the purpose of the “rigorous review process,” in that both processes permit an LEA to examine a prospective provider’s reform plans and strategies.

- Screening external service providers helps an LEA ensure that the provider with which it contracts has a meaningful plan for contributing to the reform efforts in the targeted school.
Planning Year Focus: Reviewing, Screening, and Selecting External Service Providers (Cont.)

All Other External Service Providers:
Conducting a rigorous screening should include the following:

• Requiring a potential external service provider to demonstrate its competencies through interviews and documentation, and may include other evidence as well.

• Requiring the external service provider to demonstrate that its strategies are research-based, or that it has the capacity to implement the strategies it is proposing.

• Asking the external service provider to provide evidence of its success with other LEAs and schools with similar student populations.
Planning Year Focus:
Reviewing, Screening, and Selecting External Service Providers (Cont.)

Holding External Service Providers Accountable:

- An LEA must review the performance of CSOs, CMOs, EMOs, and external service providers regularly throughout the contract period to ensure that they are on track to meet the LEA’s expectations. For example, the LEA might:
  
  o Request that the external service provider prepare monthly or quarterly reports or briefings for the LEA that detail the provider’s activities during that period, or its progress towards achieving the outcomes for which the external service provider was hired (or its progress on the performance measures).
  
  o Conduct interim or formative assessments throughout the contract period to inform contract renewal decisions.
Planning Year Focus: Defining the CA SDIM Lead Partnership Relationship

- Funded LEAs that elect to implement the CA SDIM from in any one of its SIG schools, must select a Lead Partner from the following list:
  - Local County Office of Education;
  - Regional System of District and School Support Lead County Office of Education; or
  - The California Collaborative for Educational Excellence.

- An LEA must identify and select one of the Lead Partners listed above during the 2016–17 planning year.
Planning Year Focus: Defining the CA SDIM Lead Partnership Relationship (Cont.)

- LEAs are encouraged to see the partnership as an opportunity to work collaboratively with their Lead Partner to support, implement, and sustain comprehensive schoolwide turnaround and improvement.

- The specific details of the partnership should be established in conjunction with the Lead Partner during the 2016–17 planning year.
Implementation Requirements: Tips for Success

• LEAs are encouraged to use the planning year to address elements that may impact the ability to begin full implementation of their selected SIG intervention models on the first day of the 2017–18 SY.

• Review the elements of each selected SIG intervention model for potential impediments to successful implementation.
Implementation Requirements: Tips for Success (Cont.)

Needs ➔ Implementation Plan ➔ Budget
Monitoring Requirements: Annual Renewal

Planning Year

• Before an LEA begins full implementation of the SIG, the California Department of Education (CDE) will assess the LEA’s level of readiness. The assessment may include, but is not limited to:
  
  o Review of planning and pre-implementation activities
  
  o Analysis of current capacity to fully implement the intervention model in subsequent years
Monitoring Requirements: Annual Renewal (Cont.)

Full Implementation Years

• Before renewing an LEA’s grant to continue full implementation, the CDE will evaluate the effectiveness of strategies being implemented.

• Utilize reported program data and information along with results from the California Assessment of Student Performance and Progress.
Monitoring Requirements: Annual Renewal (Cont.)

Sustainability Years

• After three continuous years of full implementation, the CDE may renew a funded LEA’s SIG. Sustainability activities must:
  
  o Be allowable
  o Be directly related to the intervention model
  o Be reasonable and necessary
  o Lead to sustained school improvement

• Please note that grant funding should taper towards grant closeout
Monitoring Requirements: Site Visits

- CDE staff will conduct a minimum of one site visit, over the five year grant period, to SIG-funded LEAs and schools in order to verify implementation.

- LEAs will be required to upload evidence of compliance with grant requirements to the CDE Monitoring Tool (CMT). Documents that have been uploaded to the CMT will be reviewed by CDE staff prior to the on-site visit.

- The monitoring visit will include interviews with LEA staff, school staff, and parents. In addition, LEA and school plans and financial documents will be reviewed by CDE staff to ensure proper management of SIG funds.
Monitoring Requirements: Data Collections

Nine Leading Indicators:

1. Number of minutes within the school year;
2. Student participation rate on state assessments in reading/English language arts and in mathematics, by student subgroup;
3. Dropout rate;
4. Student attendance rate;
5. Number and percentage of students completing advanced coursework (e.g., Advanced Placement/International Baccalaureate), early-college high schools, or dual enrollment classes;
6. Discipline incidents;
7. Chronic absenteeism rates;
8. Distribution of teachers by performance level on an LEA’s teacher evaluation and support system; and
9. Teacher attendance rate.
Monitoring Requirements: Data Collections (Cont.)

- Nine Leading Indicators (Cont.)
  - More information on the metrics that constitute the nine leading indicators for the SIG program can be found in Section III.A of the SIG final requirements.
Monitoring Requirements: Data Collections (Cont.)

For which metrics must California report “baseline data” for the school year prior to the implementation of one of the seven intervention models?

- California must report “baseline data” for the school year prior to the implementation of one of the seven interventions (e.g., for the 2016–2017 SY for schools that will begin to fully implement an intervention model in the 2017–2018 SY) on every SIG metric, except that California does not need to report any baseline data on increased learning time.
Monitoring Requirements: Data Collections (Cont.)

For which metrics must California report “baseline data” for the school year prior to the implementation of one of the seven intervention models?

- This may require an LEA to conduct new analyses or calculations if it does not already have the data in the precise form requested for SIG reporting purposes to provide to California.

- The department recognizes that some data simply may not be available, even with an analysis of various sources. California is not obligated to provide baseline data with respect to data that simply are not available from any source.
The CDE will also collect supplemental data in October 2017 via the California Basic Educational Data System (CBEDS).

The following information is located in the CBEDS Administrative Manual. **Only to be completed by School Improvement Grant (SIG) Participants**

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Indicate all methods for increased learning time, or indicate that learning time did not increase.</td>
<td>The number of students who complete advanced coursework.</td>
</tr>
<tr>
<td>☐ Increased learning time through a longer school year.</td>
<td>1</td>
</tr>
<tr>
<td>☐ Increased learning time through a longer school day.</td>
<td>2 The number of students who complete at least one class in a postsecondary institution.</td>
</tr>
<tr>
<td>☐ Increased learning time either before or after school.</td>
<td>3 The number of students who complete advanced coursework AND who complete at least one class in a postsecondary institution.</td>
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<tr>
<td>☐ Increased learning time through summer school.</td>
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<tr>
<td>☐ Increased learning time through weekend school.</td>
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<tr>
<td>☐ Increased learning time through another method. Explain in #7 below.</td>
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<td>☐ Explanation of other method(s) of increased learning time:</td>
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<table>
<thead>
<tr>
<th>I. Attendance Rates (2014–15)</th>
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</thead>
<tbody>
<tr>
<td>1 Student Attendance Rate.</td>
</tr>
<tr>
<td>2 Teacher Attendance Rate.</td>
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<tr>
<td>(Do not include administrative, guidance, media, library, health, service, or classified positions.)</td>
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<table>
<thead>
<tr>
<th>J. School Year Minutes (2014–15)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Report the number of minutes that all students were required to be at school, plus any additional learning time (e.g., before or after school, weekend school, or summer school) for which all students had the opportunity to participate.</td>
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</table>
Programmatic Revision Requirements

• Prepare a document explaining the details of the revision request and revise the appropriate SIG Implementation Chart to reflect which activities will be added or removed.

• Submit the details of the revision request and the revised SIG Implementation Chart to the assigned consultant.

• If the programmatic revision also results in a budget revision, please follow the budget revision request process described on slides 43 through 47.
Fiscal Requirements and Procedures: Expenditure Reports

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### Grant Award Notification

<table>
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<tr>
<th>GRANTEE NAME AND ADDRESS</th>
<th>CDE GRANT NUMBER</th>
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**Attention**

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**Telephone**

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**Name of Grant Program**

<p>| |</p>
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**GRANT DETAILS**

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**CFDA Number**

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</tbody>
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I am pleased to inform you that you have been funded for the [name of grant program].

This is to inform you that the award for the [name of grant program] has been amended [reason].

This award is made contingent upon the availability of funds. If the Legislature takes action to reduce or defer the funding upon which this award is based, then this award will be amended accordingly.

Please return the original, signed Grant Award Notification (AO-400) to:

First Name Last Name, Job Title
Name of Branch/Division/Office
California Department of Education
1430 N Street, Room/Suite Number
Sacramento, CA 95814-5991

**California Department of Education Contact**

<table>
<thead>
<tr>
<th>Job Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

**E-mail Address**

<table>
<thead>
<tr>
<th>Telephone</th>
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**Signature of the State Superintendent of Public Instruction or Designee**

<table>
<thead>
<tr>
<th>Date</th>
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<td></td>
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</tbody>
</table>
Fiscal Requirements and Procedures: Expenditure Reports (Cont.)

• Expenditure Reports will be submitted quarterly via e-mail to the School Turnaround Office mailbox: STO@cde.ca.gov

• If a budget revision is necessary, it must be submitted at least two weeks before the expenditure report.
## Fiscal Requirements and Procedures: Expenditure Reports (Cont.)

<table>
<thead>
<tr>
<th>Expenditure Report</th>
<th>Expenditure Dates</th>
<th>Submission Deadline</th>
<th>Notes</th>
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<tbody>
<tr>
<td>1</td>
<td>Approved start date to March 31</td>
<td>April 30</td>
<td>Budget Revision due two weeks prior to Expenditure Report</td>
</tr>
<tr>
<td>2</td>
<td>April 1 to June 30</td>
<td>July 31</td>
<td>Budget Revision due two weeks prior to Expenditure Report</td>
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</table>
Fiscal Requirements and Procedures: Expenditure Reports (Cont.)

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Expenditure Dates</th>
<th>Submission Deadline</th>
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<tbody>
<tr>
<td>1</td>
<td>July 1 to Sept 30</td>
<td>October 31</td>
<td>Budget Revision due two weeks prior to Expenditure Report</td>
</tr>
<tr>
<td>2</td>
<td>Oct 1 to Dec 31</td>
<td>January 31</td>
<td>Budget Revision due two weeks prior to Expenditure Report</td>
</tr>
<tr>
<td>3</td>
<td>January 1 to March 31</td>
<td>April 30</td>
<td>Budget Revision due two weeks prior to Expenditure Report</td>
</tr>
<tr>
<td>4</td>
<td>April 1 to June 30</td>
<td>July 31</td>
<td>Budget Revision due two weeks prior to Expenditure Report</td>
</tr>
</tbody>
</table>
Fiscal Requirements and Procedures: Budget Revisions

Guidelines:

• Up to one revision per quarter, per site, per LEA

• Must use the excel spreadsheet template provided by the CDE
Fiscal Requirements and Procedures: Budget Revisions (Cont.)

Revision Process

“Budget Revision” means a change in approved activities/costs

- Discuss proposal with assigned consultant
- Submit these documents to your assigned consultant:
  - Cover Letter explaining justification for revision
  - Budget Revision (XLS)
  - Revised Implementation Chart (if necessary)
- LEA will receive an e-mail confirming that the changes have been approved
## Fiscal Requirements and Procedures: Budget Revisions (Cont.)

### WORKFLOWS

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity</th>
<th>LEA</th>
<th>CDE Consultant</th>
<th>CDE Analyst</th>
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<tbody>
<tr>
<td>1</td>
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<tr>
<td>2</td>
<td>Submit</td>
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<td>3</td>
<td>Review</td>
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<td>4</td>
<td>Budget (XLS)</td>
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<td>5</td>
<td>Final Approval and Confirmation</td>
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### Fiscal Requirements and Procedures: Budget Revisions (Cont.)

#### Form Use

<table>
<thead>
<tr>
<th>Activity Description</th>
<th>Object Codes</th>
<th>FY 2016-17 Budget</th>
<th>Budget Revisions</th>
<th>FY 2017-18 Budget</th>
<th>Budget Revisions</th>
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<tbody>
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<td>$54,000.00</td>
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<td>$60,000.00</td>
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<td>$60,000.00</td>
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- When developing the budget, the LEA should only request up to 10 percent of its total proposed award for planning.

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**Note:**
- LEA Budget
- Sample Budget
- School Improvement Grant Cohort 4
- CA Dept. of Education April 2016

Fiscal Requirements and Procedures: Budget Revisions and Expenditure Report Submission

- **Budget Revisions:**
  - One activity/amount per row

- **Naming convention:**
  - [sitename].budget.[date].xls
  - [sitename].ExpReport.[date].xls

- **Example filenames:**
  - School: carver.budget.18Jan17.xls
  - District: lausd.ExpReport.18Jan17.xls
Fiscal Requirements and Procedures: Payment Schedules

- Payments will be made on a quarterly basis.

- LEAs will receive their first payment based on their approved 2016–17 SY budget. The amount will be 25 percent of the award.

- Payments will be made based on reported expenditures at the end of each quarter after the initial 25 percent has been spent.

- The yearly final payment (Q4) will not be processed until the LEA completes year-end closeout procedures.
Fiscal Requirements and Procedures: Year-end Closeout

When closing out the year, LEAs should:

- Revise budgets to reflect proposed final expenditures
- Submit budget revision to Fiscal Analyst for review
- Once approved, submit the final expenditure report for review and approval
Fiscal Requirements and Procedures: Year-end Closeout (Cont.)

• Closeout is required to receive future payments.

• Closeout will commence at the end of every fourth quarter.

• The final year of the grant is 2021
  
  – All SIG funds must be obligated and liquidated by September 30, 2021. **

** Note: the previous version indicated June 30, 2021 and has been replaced with September 30, 2021.
Fiscal Requirements and Procedures: Carryover

• LEAs are expected to spend their budget in its entirety every year.

• Large carryover amounts from previous fiscal years (FYs) are not recommended. Please consult your assigned consultant if you are suspecting a large amount of carryover to the next FY.

• The end-of-year budget revision should include carryover funding amounts.

• Carryover funding must be reallocated into future budgets at the end of the year.
Fiscal Requirements and Procedures: Grant Management and Reporting Tool (GMART)

- Introduction and training will occur in late spring 2017

- LEAs will use the Grant Management and Reporting Tool, also known as GMART, for SIG implementation beginning in the 2017–18 SY
Questions
Upcoming Technical Assistance Webinars

- Navigating the Lead Partner Relationship
- 2016–17 SY Renewal Application Walkthrough
- SIG Program Monitoring and On-site Reviews
Technical Assistance and Resources

- CDE SIG Web page
  - [www.cde.ca.gov/sp/sw/t1/sig09.asp](http://www.cde.ca.gov/sp/sw/t1/sig09.asp)

- CDE SIG Technical Assistance Web Page
  - [http://www.cde.ca.gov/sp/sw/t1/sigassist.asp](http://www.cde.ca.gov/sp/sw/t1/sigassist.asp)

- Final Requirements for School Improvement Grants

- Guidance on School Improvement Grants located on the ED Program Web page
  - [http://www2.ed.gov/programs/sif/sigguidance032015.doc](http://www2.ed.gov/programs/sif/sigguidance032015.doc)
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