

Categorical Directors' District-Level Compliance Checklist July 2015

Use the following checklist to determine what tasks need to be completed in July to maintain compliance with state and federal program requirements.

X	Task	Notes
	Multiple Programs	
	If the district submitted the 2015-16 Consolidated Application (<u>ConApp</u>) through the Consolidated Application Reporting System (CARS) by the June 30, 2015 deadline with a <u>future board approval date</u> listed, verify that the application will be on the agenda for <u>approval by the local board</u> prior to August 31, 2015. Refer to the <i>DELAC/DAC Input and Local Board Approval Dates</i> letter under "Letters" on the CARS web page: http://www.cde.ca.gov/fq/aa/co/cars.asp	
	If the district received an on-site or online Federal Program Monitoring (FPM) compliance review during the 2014-15 school year, <u>review any compliance findings</u> and plan for any changes needed to meet legal requirements in the 2015-16 school year. Refer to <i>FPM Instruments for program requirements</i> : http://www.cde.ca.gov/ta/cr/	
	Ensure that all findings from 2014-15 <u>online or on-site compliance monitoring</u> have been <u>resolved</u> within the required 45-day timeline or a <u>Resolution of Findings</u> has been <u>submitted</u> and approved extending the timeline. Refer to the <i>CDE Compliance Monitoring Website for the Proposed Resolution of Findings Form</i> : http://www.cde.ca.gov/ta/cr/	
	Review 2014-15 <u>time and effort reports</u> , job descriptions and duty statements for categorically-funded personnel. Verify that <u>job descriptions</u> , <u>duty statements</u> and <u>funding distributions</u> for categorically funded staff accurately <u>reflect the duties and the time and effort</u> required to meet program needs. <u>Make any necessary adjustments</u> for the coming year to ensure job descriptions, duty statements and funding are correct and aligned with program needs. Refer to 2 CFR 200.420-474, <i>Selected Items of Cost 8(e)</i> : http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl and to the <i>Procedure 905 in the California School Accounting Manual (CSAM)</i> : http://www.cde.ca.gov/fq/ac/sa/	
	<u>Identify</u> the district contact person who will serve as the district <u>Homeless Liaison</u> for the 2015-16 school year. Refer to the <i>Homeless Education Compliance Monitoring Instrument on the Compliance Monitoring Web site</i> : http://www.cde.ca.gov/ta/cr/	
	<u>Identify</u> the person responsible for receiving and investigating complaints and ensuring compliance with the <u>Uniform Complaint Procedures</u> for the 2015-16 school year. Refer to <i>California Code of Regulations (CCR) 5CCR4621(b)</i> : http://government.westlaw.com/linkedslice/default.asp?RS=GVT1.0&VR=2.0&SP=CCR-1000&Action=Welcome	
	Verify that the school board has adopted <u>policies and procedures</u> to implement the requirements for the <u>Uniform Complaint Procedure</u> including those related to the <u>Local Control and Accountability Plan</u> . Policies and provisions to implement these provisions were to be in place on or before June 30, 2014. Refer to education code 52075: http://leginfo.ca.gov/faces/codesTOCSelected.xhtml	

All references to FPM instruments refer to the on-site version in cases where two versions are available.
na/c – Not applicable to Direct Funded Charter Schools

Categorical Directors' District-Level Compliance Checklist July 2015

X	Task	Notes
	Multiple Programs (continued)	
	If the district has been selected for an online or on-site review in the 2015-16 school year, ensure that appropriate district <u>staff are registered</u> for the <u>August 4-5, 2015, Pomona, or August 12-13, 2015 Northern California FPM Training</u> . <i>Registration available on the FPM web site: http://www.cde.ca.gov/ta/cr/</i> Registration was scheduled to close 6/30/15; if you missed the timeline, contact the CDE FPM office at: fpmoffice@cde.ca.gov	
	If the district has been selected for online or on-site reviews for the 2015-16 school year, <u>determine which administrators will be assigned to submit documents</u> and access information via the new Compliance Monitoring Tool for FPMs for 2015-16 and that they receive training in use of the new tool <i>Check the CDE web site for upcoming information regarding the new tool: http://www.cde.ca.gov/ta/cr/</i>	
	Meet with assessment staff to determine what <u>state assessment results</u> will be available and what other data is available for use by various district and school-level groups for <u>planning</u> and decision-making. <i>Refer to CDE Testing & Accountability Website for assessment results: http://www.cde.ca.gov/ta/</i>	
	Verify that all schools operating Consolidated Application programs have a <u>current SPSA</u> (Single Plan for Student Achievement) in place for the beginning of the school year that has been <u>approved by the local board</u> within the last year (annual board approval required prior to expenditure of funds). <i>Refer to Ed Code 64001(g) http://www.leginfo.ca.gov/cgi-bin/calawquery?codesection=edc&codebody=&hits=20</i>	
	Verify that all <u>activities supported with categorical funds</u> planned for <u>July and August</u> are being implemented in a timely manner, that all required <u>documentation</u> is being <u>maintained</u> , including time and effort reports, and that <u>funds are being expended</u> in accordance with program plans and requirements.	
	If the district has remaining Economic Impact Aid (EIA) carryover funds from 2012-13, ensure that <u>funding data is posted on the district web site pursuant to SB754 (Ed Code 54029)</u> , including: district and school level expenditures for EIA/LEP and EIA/SCE for 2013-14 and 2014-15 and administrative costs for 2014-15. <i>Refer to the March 15, 2013 CDE letter: http://www.cde.ca.gov/fq/fo/r14/sb754ltr.asp and to the EIA Q & A's on the LCFF web page: http://www.cde.ca.gov/fq/aa/lc/lcfffq.asp#EIA</i>	na/c
	Verify that the district maintains required <u>documentation</u> for federal programs for <u>5 years</u> (3 year minimum, 5 year statute of limitations for recovery of funds). <i>Refer to Code of Federal Regulations (34CFR) 200.333 and 81.31 http://www.access.gpo.gov/nara/cfr/waisidx_00/34cfrv1_00.html</i>	
	~Private School Federal Program Requirements ~	
	Continue <u>consultation with participating private schools</u> to ensure timely implementation of programs at the beginning of the 2015-16 school year. <i>Refer to Federal Guidance - Equitable Services for Private Schools (Title IX) Section D and Title I Services to Eligible Private School Children, Section A: http://www2.ed.gov/policy/elsec/guid/edpicks.jhtml?src=ln</i>	na/c
X	Task	Notes

All references to FPM instruments refer to the on-site version in cases where two versions are available.
na/c – Not applicable to Direct Funded Charter Schools

Categorical Directors' District-Level Compliance Checklist July 2015

	Title I	
	Establish <u>procedures and timelines</u> for working with appropriate individuals and groups to <u>analyze</u> district and school-level <u>data</u> and using that information to <u>revise/update</u> the LEA Plan when state assessment data is released. Refer to CDE Accountability Progress Reporting Website for data reports: http://www.cde.ca.gov/ta/ac/ar/	
	Determine what <u>educationally related, objective, multiple measures</u> will be used to <u>identify eligible students</u> for services at Title I <u>Targeted Assistance schools</u> (TAS) in the 2013-14 school year. Refer to CDE Title I, Part A, TAS Webpage: http://www.cde.ca.gov/sp/sw/rt/tasinfo.asp	
	Identify any Title I Targeted Assistance schools that are eligible for and prepared to begin the year-long process to <u>develop a plan</u> to implement a <u>Title I Schoolwide program</u> . Determine what <u>technical assistance</u> will be provided for the planning process. Refer to CDE Schoolwide Programs Website: http://www.cde.ca.gov/sp/sw/rt/	
	~Title I Private School Requirements~	
	Verify that <u>consultation</u> has taken place with all eligible non-profit private schools located in the <u>district boundaries</u> , and those in <u>adjoining districts</u> serving students residing in your district's Title I school attendance areas, <u>regarding their interest in participating</u> in Title I, Part A programs and whether program <u>services</u> will be <u>provided directly by your district</u> or through a contract with a third party provider or, where applicable, by the <u>adjoining district</u> through a formal agreement (to be documented in Spring ConApp). Refer to August 4, 2010 CDE letter re: Title I Services to Eligible Private School Children at: http://www.cde.ca.gov/sp/sw/t1/correspondence.asp	na/c
	Consult with participating private schools regarding what <u>educationally related, objective, multiple measures</u> will be used to <u>identify eligible students</u> for Title I services. Refer to B-23 and B-24 in the Title I Private School Guidance: http://www2.ed.gov/policy/elsec/guid/edpicks.jhtml?src=ln	na/c
	If <u>previously unserved schools</u> in the district are <u>identified for Title I funding based on the Title I ConApp ranking</u> , ensure that <u>low-income students attending eligible private schools who reside in the attendance areas of the newly identified district schools are included in the count</u> to determine available <u>funding for services to students in participating private schools</u> . Keep in mind that schools previously skipped using EIA/SCE funds may need to be funded unless the district has EIA/SCE carryover funds. Refer to Title I Services to Eligible Private School Children, Federal Guidance item B-19: http://www2.ed.gov/policy/elsec/guid/edpicks.jhtml?src=ln	na/c
	Title I Program Improvement (PI)	
	Identify current non-PI schools that are available, and are likely to remain available based on their current status, to <u>accept Choice transfer requests</u> . Refer to ESEA FAQ link on CDE Title I, Part A School Choice Website: http://www.cde.ca.gov/ta/ac/ti/schoolchoice.asp	
	If no schools in the district are available to accept PI Choice transfers, <u>contact adjoining districts</u> to determine if they will <u>accept Choice transfers</u> from your district; document contact and response. Refer to ESEA FAQ link on CDE Title I, Part A School Choice Website: http://www.cde.ca.gov/ta/ac/ti/schoolchoice.asp	
X	Task	Notes

All references to FPM instruments refer to the on-site version in cases where two versions are available.
na/c – Not applicable to Direct Funded Charter Schools

Categorical Directors' District-Level Compliance Checklist July 2015

	Title I Program Improvement (PI) continued	
	Determine if any schools will enter or advance in PI based on participation rate and attendance rates for elementary and middle schools and graduation rates for <u>high schools</u> . <u>Ensure processes are in place for timely identification of PI schools and notification to parents</u> of Choice option, within required timelines. <i>Refer to CDE Accountability Progress Reporting Website: http://www.cde.ca.gov/ta/ac/ar/ and Title I School Choice Webpage: http://www.cde.ca.gov/ta/ac/ti/schoolchoice.asp</i>	
	If there are schools in the district in year 2 or beyond of PI, determine how the district (or charter school) will implement an extended day program if the state SES waiver is approved, and prepare to implement SES as per current requirements in the event the waiver is not approved. LEAs should not enter into written agreements with SES providers prior to notification of the waiver status without including language that would nullify the agreement should the waiver be approved. <i>Refer to item 13 on the May State Board of Education agenda: http://www.cde.ca.gov/be/ag/ag/main201505.asp</i>	
	<u>Review parent notification letters</u> for PI school (district) identification, Choice and SES (pending outcome of State Board waiver request) options to ensure <u>all required information is included</u> and they reflect current school/district status. <u>Prepare to update letters</u> as soon as <u>new data</u> (attendance, participation rate and graduation rate) is released and ensure systems are in place for timely notification. Parent notification regarding <u>Choice option must be provided 14 days prior to the start of school</u> . <i>Refer to CDE Parental Notification Templates: http://www.cde.ca.gov/ta/ac/ti/parnotpi.asp</i>	
	Review procedures and <u>determine the district's capacity to provide required technical assistance to PI schools</u> in: <u>data analysis</u> ; identifying and implementing <u>scientifically research-based professional development</u> , <u>instructional strategies</u> and methodologies; <u>analyzing and revising the school's budget</u> . <i>Refer to PI Years 1 & 2: Newly Identified/Continuing , PI Year 3: Schools in Corrective Action and PI Years 4 & 5: Restructuring/Alternative Governance documents on the CDE Website for a list of LEA Responsibilities: http://www.cde.ca.gov/ta/ac/ti/schoolpireq.asp</i>	
	Title III/English Learner Requirements	
	Verify that systems are in place to ensure that <u>CELDT annual assessments</u> are <u>administered within the testing window</u> (July 1- October 31). <i>Refer to 5CCR11510 for definition of annual assessment window: http://government.westlaw.com/linkedslice/default.asp?Action=TOC&RS=GVT1.0&VR=2.0&SP=CCR-1000</i>	
	Local Control Funding Formula (LCFF)/Local Control and Accountability Plan (LCAP)	
	Ensure that any <u>amendments required for LCAP approval</u> that have been communicated to the district by the county office of education are addressed and the plan is resubmitted to the local school board and then submitted to the county office for final approval. <i>Refer to education code 52070: http://leginfo.legislature.ca.gov/faces/codesTOCSelected.xhtml</i>	na/c
X	Task	Notes
	Local Control Funding Formula (LCFF)/Local Control and Accountability Plan (LCAP)	

All references to FPM instruments refer to the on-site version in cases where two versions are available.

na/c – Not applicable to Direct Funded Charter Schools

Categorical Directors' District-Level Compliance Checklist July 2015

	Ensure that <u>processes</u> are in place to <u>collect data</u> required to measure annual progress toward <u>outcomes</u> identified in the district <u>LCAP</u> based on state required metrics and local measures identified in the plan. <i>Refer to education code 52060:</i> http://leginfo.ca.gov/faces/codesTOCSelected.xhtml	
	Work with fiscal staff to ensure <u>processes</u> are in place to <u>track and report</u> estimated actual <u>expenditures</u> using California School Accounting Manual (<u>CSAM</u>) classifications in the 2016 Annual Update. <i>Refer to education code 52061:</i> http://leginfo.ca.gov/faces/codesTOCSelected.xhtml	
	Verify that <u>documentation</u> is available for the district's <u>annual audit</u> to demonstrate the district met the requirements to: <u>present the LCAP/Annual Update to the parent advisory committee and the English learner advisory committee</u> and provide written responses from the superintendent to their comments; notify members of the public of the opportunity to submit comments; hold a <u>public hearing</u> and <u>adopt the LCAP/Annual Update</u> in a public meeting. <i>Refer to education code 52062 and 52068:</i> http://leginfo.ca.gov/faces/codesTOCSelected.xhtml	na/c
	<u>Post</u> final approved <u>LCAP</u> on the district web site: <i>Refer to education code 52065:</i> http://leginfo.ca.gov/faces/codesTOCSelected.xhtml	
	Other Tasks	

*All references to FPM instruments refer to the on-site version in cases where two versions are available.
na/c – Not applicable to Direct Funded Charter Schools*