

# 2016-17 Administrative Manual for Federal Programs

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The No Child Left Behind Act of 2001 (Public Law 107-110)  
*Updated to reflect Pennsylvania's approved ESEA Waiver*

- Title I.A      Improving the Academic Achievement of the Disadvantaged
- Title I.D      Prevention and Intervention Programs for Delinquent and At-Risk Students
- Title I.G      Advanced Placement
- Title II.A      Training and Recruiting High Quality Teachers and Principals
- Title II.B      Math and Science Partnerships
- Title III      Language Instruction for Limited English Proficient and Immigrant Students
- Title VI.B      Rural Education Initiative/Rural Education Achievement Program (REAP)

*April 2016*



**COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF EDUCATION**

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## Introduction

This administrative manual provides information for the federal programs listed on the cover page of this document pertinent to Pennsylvania.

The Division of Federal Programs (DFP) has designed a Consolidated Local Educational Agency (LEA) application and many online tools for use in applying for, managing, and closing out the federal programs the Division administers. DFP has made a sincere effort to simplify the processes for submission of required information and to make resources available to all who need them.

This manual, used in combination with federal law, regulation, and guidance, will provide Pennsylvania federal program coordinators with all the necessary information to conduct federal programs that are in compliance with all state and federal requirements.

Throughout this manual are boxes of information that emphasize requirements LEA personnel need to know. If these requirements are not met, a district's program would not be in compliance. Lack of compliance can result in loss of federal education funds.

## Key Terminology

This section is provided to help you understand key terms used in this manual.

**Administrative Costs** - Expenditures associated with the management of a program.

**Allocable** - the goods or services involved are chargeable or assignable to the federal award in accordance with the relative benefit received. This means that the federal grant program derived a benefit in proportion to the funds charged to the program.

**Attendance Area** - The geographic area served by a particular school.

**Carryover** - The portion of the allocation not expended by the end of the grant period which is added to the available funds in the following fiscal year.

**Catalog of Federal Domestic Assistance (CFDA)** - A government-wide compendium of federal programs, projects, services, and activities. It identifies financial and non-financial assistance programs by a standard code.

**Contract/Price Analysis** - The LEA/CS performs a cost or price analysis in connection with every procurement action in excess of \$150,000, including contract modifications.

**Core Academic Subjects No Child Left Behind (NCLB)** - English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography.

**English for Speakers of Other Languages (ESOL)** – The currently accepted term for English-language programs that teach language skills to speakers from non-English language backgrounds. The approach of choice for schools where bilingual teachers are not available, and where ELL students represent many languages. Replaces the term “English as a Second Language” or ESL.

**English Language Learners (ELL)** - Refers to speakers of other languages in the process of learning English. This abbreviation may be used to indicate Limited English Proficient (LEP) students.

**Equipment** – Tangible, non-expendable, personal property having a useful life of more than one year and/or an acquisition cost of more than \$1,500.

**Excess Funds** - Carryover funds that exceed the maximum carryover.

**Expenditure of Funds** - Payment for obligations made during a fiscal year.

**Federal Funding Accountability and Transparency Act (FFATA) – Required upload in eGrants by all LEAs including charter schools.**

The image shows a form titled "Federal Funding Accountability and Transparency Act Sub-recipient Data Sheet". It is divided into several sections:
 

- FUNDS NUMBER:** Includes fields for "Fund Number" and "Fund Name".
- PRIMARY LOCATION:** Includes fields for "City", "State", and "Zip".
- Compensation of Officers:** A table with columns for "Officer Name", "Officer Compensation", and a checkbox for "By marking the following box, grantee affirms they do not meet the conditions for reporting highly compensated officers".
- INSTRUCTIONS:** A block of text at the bottom providing detailed guidance on how to complete the form, including instructions on how to report compensation and how to indicate if an officer is highly compensated.

**Final Approval** - The date determined by the Division of Federal Programs that the consolidated application is complete and acceptable.

**Focus School** - Lowest 10 percent of Title I schools (based on highest achievement gap for the Historically Low Performing students AMO). The aggregate achievement gap is for combined Mathematics/Reading PSSA (and/or Algebra I/ Literature Keystone Exams) OR Title I school with a graduation rate below 60 percent OR test participation below 95 percent AND not a Priority school.

**Full-Time Equivalency (FTE)** - The amount of time an employee spends in fulfilling his/her assignment. One FTE is a full-time employee. If not full-time, the FTE is usually expressed as a decimal fraction to the nearest tenth. As a data element in the consolidated application, FTE refers to salaried positions or those paid on an hourly rate rather than those receiving stipends for one-time events.

**Highly Qualified Teacher (Title II.A)** - A teacher who has at least a baccalaureate degree, is appropriately certified, is currently placed and is providing instruction within the content area they are certified.

**Hold-Harmless (Title I)** - The percentage of a given fiscal year's allocation guaranteed to an LEA the following fiscal year.

**Indirect Cost** – Costs associated with implementing the programs that are not reflected in the program budgets may be reimbursed through the indirect cost provision.

**Limited English Proficient (LEP)** - The term limited English proficient, when used with respect to an individual, means an individual:

1. who is aged 3 through 21;

2. who is enrolled or preparing to enroll in an elementary school or secondary school;
  - a. who was not born in the United States or whose native language is a language other than English;
  - b. (I) who is a Native American or Alaska Native, or a native resident of the outlying areas; and  
(II) who comes from an environment where a language other than English has had a significant impact on the individual's level of English language proficiency; or
  - c. who is migratory, whose native language is a language other than English, and who comes from an environment where a language other than English is dominant; and
3. whose difficulties in speaking, reading, writing, or understanding the English language may be sufficient to deny the individual:
  - a. the ability to meet the state's proficient level of achievement on state assessments described in section 1111(b)(3);
  - b. the ability to successfully achieve in classrooms where the language of instruction is English; or
  - c. the opportunity to participate fully in society.

**Local Educational Agency (LEA)** – School districts and intermediate units. For federal funding purposes, all charter schools are also considered to be LEAs in Pennsylvania.

**Micro Purchases** - a purchase of supplies or services using simplified acquisition procedures, the aggregate amount of which does not exceed \$3,000.

**Necessary Cost** - A key aspect in determining whether a cost is necessary is whether the district can demonstrate that the cost addresses an existing need, and can prove it.

**Obligation of Funds** - A purchase order, a contract, or grant awarded, a service, or similar transaction during a given period that requires payment by the recipient. Funds may not be obligated before July 1 or the substantially approvable date, whichever comes later.

**Paraprofessionals/Instructional Assistants** – Non-certified staff who work under the direct supervision of a certified teacher. Paraprofessionals must meet the highly qualified requirements as outlined in NCLB in order to work in a Title I program or be paid by Title I.

**Priority School** – Lowest 5 percent of Title I schools (based on aggregate mathematics and reading proficiency for PSSA and/or Algebra I/literature for Keystone Exams) OR Title I school receiving School Intervention Grant funds.

**Reallocated Funds** - Funds redistributed among eligible districts.

**Reasonable Cost** - A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision to incur the cost was made.

**Rural Education Achievement Program (REAP)** - See Small Rural School Achievement (SRSA).

**School Performance Profile (SPP)** – A comprehensive overview of student academic performance in every Pennsylvania public school building, including traditional public schools, charter schools, cyber charter schools and career and technology centers.

**Scientifically Based Research** - Educational practices that independent and systematic research has shown to be effective in improving student performance.

**Sealed Bids** - purchases over \$150,000, bids are publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming with all the material terms and conditions of the invitation for bids, is the lowest in price.

**Selection of Schools (SOS)** - The part of the consolidated Federal Programs Application used to determine which buildings are eligible for Title I allocations and services and the maximum funding levels for each.

**Single Attendance Area** - A district that does not have the same grades in more than one building.

**Small Purchases** - Purchases between \$3,000 and \$150,000.

**Small Rural School Achievement (SRSA)** - Funding source for small rural schools that comes directly from the U.S. Department of Education under Title VI; therefore, these funds are not included in the Consolidated Federal Programs Applications. Districts may use these funds to support the programs included in the Consolidated Application. Districts eligible for these funds are also called REAP schools.

**Substantially Approvable** - The Consolidated Application is considered to be in substantially approvable form when all of the required items have been received by the Division of Federal Programs (DFP). An LEA may begin to obligate funds as of the substantially approvable date (the date on which the final required item is received by DFP or July 1, whichever is later), even though the application may not yet have been given final approval.

**Transferability** - The flexibility an LEA has to move up to 100 percent of funds out of Title II.A into Title I.A.

## Federal Programs Acronyms: What does that mean?

AFR - Annual Financial Report  
AMO - Annual Measurable Objective  
ARRA - American Recovery and Reinvestment Act  
CEP - Community Eligibility Provision  
CFDA - Catalog of Federal Domestic Assistance  
DFP - Division of Federal Programs  
EDGAR - Education Department General Administrative Regulations  
ELL - English Language Learners  
ESEA - Elementary and Secondary Education Act  
ESL - English as a Second Language  
ESOL - English for Speakers of Other Languages  
ESSA – Every Student Succeeds Act  
FER - Final Expenditure Report  
FFATA - Federal Funding and Accounting Transparency Act  
FTE - Full-Time Equivalency

GED - General Education Diploma  
GEPA - General Education Provisions Act  
IDEA - Individuals with Disabilities Education Act  
IEP - Individualized Education Plan  
IU - Intermediate Unit  
LEA - Local Educational Agency  
LEP - Limited English Proficient  
N or D - Neglected or Delinquent  
NCLB - No Child Left Behind Act of 2001  
PSSA - Pennsylvania System of School Assessment  
RLIS - Rural Low Income School  
SEA - State Educational Agency  
SES - Supplemental Educational Services  
SPAC - State Parent Advisory Council  
SPP - School Performance Profile  
SRSA - Small Rural School Achievement  
UGG - Uniform Grants Guidance

## Part I – PROGRAM

### Section 1 – Program General Guidelines

#### Consolidated Local Educational Agency (LEA) Plan

An LEA may receive Title I, IIA, and III funds only if the LEA has a state-approved LEA plan for implementing the programs. The LEA plan is to be developed in consultation with teachers, principals, administrators, other appropriate school personnel, and parents of children in schools served with Title I funds. Each district is required to review the LEA plan annually and to make any necessary changes.

Any changes to program should be discussed with the regional coordinator prior to implementation. Revisions to the LEA plan are made online and submitted for approval

#### Parent/Guardian Notification

No Child Left Behind (NCLB) and Pennsylvania's ESEA waiver require LEAs to notify parents/guardians when any of the following situations exist in a district receiving federal funds.

1. Districts must annually disseminate Federal Programs Complaint Resolution Procedures to parents/guardians of students and appropriate private school officials or representatives.
2. At the beginning of each school year, a participating LEA must notify the parents/guardians of each student attending a building that receives Title I funds that they may request, and the district will provide in a timely manner, information regarding the professional qualifications of their child's classroom teachers and any paraprofessionals providing services to their child.
3. A building that receives Title I funds must provide all parents/guardians notice that their child has been assigned, or has been taught for four or more consecutive weeks, by a teacher or a person who is not appropriately certified.
4. When a school is identified as a Focus or Priority school, the district must notify the parents/guardians of all children in the identified Title I building of its designated status.
5. Within thirty days after the beginning of the school year, a district must inform parents/guardians that their LEP child has been identified for participation in a language instruction educational program.

6. Parents/guardians of students enrolled in a persistently dangerous school or students who are victims of violent criminal offense while on school property must be notified of their option to transfer their student to a school that is not designated persistently dangerous.

### Supplementing State and Local Funds

Under the No Child Left Behind Act, all federal funds must be used only to supplement, not supplant, the funds that would be available from nonfederal sources in the absence of these funds. The LEA must maintain the level of state and local funding in participating schools it would have maintained had the federal funds not been available.

Districts are required to maintain documentation needed to rebut supplanting. This documentation should include local board of education action, budget histories and information, and fiscal and programmatic documentation to confirm that, in the absence of federal funds, the LEA would have eliminated staff or other services.

Supplanting is presumed to have occurred if federal funds were used to provide services that:

- were required to be made available under other federal, state or local laws;
- were provided with non-federal funds in prior year; and
- were provided to participating children, if those same services were provided with non-federal funds to non-participating children.

For the first two bulleted items, presumption of supplanting may be rebutted if the LEA demonstrates it would not have provided services with non-federal funds if the federal funds were not available. LEA cannot rebut the third item.

If a supplanting finding is made, the LEA will be required to pay for the services which supplant state and local services from its own funds, or refund to the federal government the amount of funds expended in violation of this policy.

If you have questions about this issue, please contact your regional coordinator for clarification.

### Consolidated Application

LEAs applying for federal funds must annually submit the Consolidated Federal Programs Application online.

To access the online application, go to [egrants](#)

Funds may not be obligated for a given year until July 1 or the date a substantially approvable application is received by DFP, whichever comes later. Therefore, districts and charter schools are encouraged to submit the application by July 1. We expect that all applications will be submitted no later than September 30, so that programs supported by these funds may begin with the school year.

To receive a substantially approvable date, the LEA must have submitted these components:

- Consolidated Federal Programs Application, submitted online
- LEA Plan online (and revisions, if needed)
- Nonpublic signoff (online) for Titles I.A, II.A, if applicable
- Consortium signoff (online), if applicable
- Title I.D Neglected or Delinquent form, if applicable
- New Schoolwide Plan(s), if applicable
- A printed Grant Agreement signed and dated by the superintendent or CEO, either electronically or by hard copy

**If required components are received by DFP separately, the approval date will be that on which the final component is received.** For districts serving nonpublic schools with Title I funds, the application will not be approved unless services for them have been budgeted, or documentation indicates that services were declined.

### Late Submission of Consolidated Applications

An LEA that fails to submit a Consolidated Application for funds within the initial fiscal program period (July 1 – September 30 of the following year) will forfeit 85 percent of its Title I allocation if the application is submitted within the carryover period for that fiscal year.

The Tydings Amendment only allows an LEA to carry-over up to 15 percent of its Title I allocation into the carryover period. It may request a waiver once every three years to exceed the 15 percent carryover limit as long as there is reasonable justification and state educational agency (SEA) approval is obtained. Failure to submit an application for funds is not considered to be “reasonable justification.” Therefore, the LEA will only be eligible to claim 15 percent of its Title I allocation.

The remaining amount will be reallocated to other LEAs during the reallocation process.

### Program Records

All records must be retained:

- for the current year plus previous six years;
- until any pending audits have been completed; and
- until all findings and recommendations arising from audits or monitoring have been completely resolved.

These records would include:

- Student identification and selection worksheets
- Assessment/performance reports
- Local Title I Plans and their amendments

- Quality Program Review data
- Annual applications
- Financial reports
- Self-review
- Reports, etc.

Retention of records may be done electronically, as long as sufficient back-up policies are in place and the LEA can ensure adequate preservation of documents.

## Complaint Resolution Procedures

LEAs must have board-adopted standard complaint resolution procedures for NCLB programs. These procedures are used to resolve allegations of violations of requirements under the federal programs. The procedures should be made available to the public and a copy maintained in each building. DFP has adopted written procedures in the event that a complainant disputes an LEA decision.

LEAs must annually disseminate the complaint procedures to parents of students and appropriate private school officials or representatives.

*A sample of complaint resolution procedures is available under Forms, Sample Letters and Templates on the Federal Programs webpage.*

## Monitoring

Based on the new requirements, PDE created a subgrantee risk assessment that is completed on all LEAs/charter schools that receive federal funds. To determine risk the following factors will be used: timely submission of reports, previous year monitor/audit findings, excessive carryover, allocation, suspension of funds, new charter school, and new federal programs coordinator. Based on the points assessed, each LEA/Charter School will receive a high, medium, or low risk category.

Monitoring typically occurs from January through May of each year. Priority schools will be monitored annually, while Focus schools will be monitored every other year. When an LEA is due for a review, they are required to complete a self-assessment online at: [www.leaderservices.com/fedmonitor](http://www.leaderservices.com/fedmonitor) with an assigned username and password provided by DFP.

The monitors conducting LEA reviews are typically retired administrators that are hired and trained by Division of Federal Programs staff. Monitors will use the self-assessments completed by the LEA to verify compliance of each federal program requirement for Titles I Part A, I Part D, IIA, III, Fiscal, and Ed-Flex Waivers. LEAs will have access to their final monitoring report which is also stored online at [www.leaderservices.com/fedmonitor](http://www.leaderservices.com/fedmonitor). It can be viewed and printed after logging in with the same assigned username/password. Monitoring cycles are also posted on DFP's website under Consolidated Program Review.

## Findings of Noncompliance

LEAs can be found to be non-compliant in various ways:

- Single audits
- Complaints filed with PDE/USDE
- Fiscal review
- On-site monitoring
- Application review

If an LEA is found to be out of compliance in one or more areas, the regional coordinator will provide technical assistance through the following process in order to address and correct any findings of non-compliance:

Corrective actions must be taken immediately and documentation must be submitted to DFP within a reasonable period of time (generally within two months unless otherwise indicated on follow-up letter from DFP). DFP may suspend further payments of programs in the Consolidated Application until appropriate documentation is provided.

Failure to respond adequately with submitted documentation of corrective action may result in the following actions:

- Denial of the use of funds for all or part of the cost of the program activity not in compliance; or
- Refund of the money determined to have been misused.

When compliance issues have been resolved, DFP will send a final letter verifying implementation of federal program requirements.

## Participation of Nonpublic School Children

LEAs must make available equitable services to eligible nonpublic school children, their teachers, or other educational personnel. LEAs must ensure that total expenditures, less administrative costs, are equal on a per-pupil basis. Services to nonpublic school children must be performed at the public school, neutral grounds, or a neutral site at the nonpublic school.

Before making any budgeting decisions and prior to application submission, LEAs must engage nonpublic school officials in timely and meaningful consultation concerning their participation.

Documentation of consultation must be kept on file. Relevant programs are Title I.A, Title II.A, and Title III.
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An appropriate time for initial consultation would be in the winter of the previous school year so that services can begin at the beginning of the school year. Communication should be ongoing throughout the school year.

The public LEA controls funds, employment, and contracts used to provide services to nonpublic students and teachers.

No funds may go directly to the nonpublic schools – only services.

Services shall be provided by employees of a public agency or through contract with an individual, association, agency, or organization independent of the private school and any religious organization. The public LEA makes the final decisions with respect to the services provided to nonpublic children with federal funds from the consolidated federal programs.

Monitors will be checking for follow through from the LEA regarding the transfer of additional nonpublic dollars to the IU.

### Ed-Flex Waivers

Pennsylvania is one of ten states that has the authority to grant waivers of most of the requirements under NCLB, if it can be demonstrated that the requirements are burdensome to an LEA or are affecting the quality of its programs and student achievement.

Ed-Flex waivers are usually granted for a three-year period of time. A waiver report is required to be submitted at the end of the second year to provide evidence of the effectiveness of the waiver and to justify sustaining the waiver for the third year.

Not all federal laws/regulations may be waived. Check the PDE Division of Federal Programs website for a detailed list.

Those interested in submitting an Ed-Flex waiver should contact the regional coordinator prior to completing the Ed-Flex Waiver Application.

A copy of the application is available on the DFP website at [http://www.education.pa.gov/Teachers%20-%20Administrators/Federal%20Programs/Pages/Federal-\(Ed-Flex\)-Waiver-Program.aspx](http://www.education.pa.gov/Teachers%20-%20Administrators/Federal%20Programs/Pages/Federal-(Ed-Flex)-Waiver-Program.aspx)

### REAP-Flex

REAP-Flex authority provides flexibility to eligible rural LEAs to use funds out of Title VI.B for purposes under Titles I, II.A and III. REAP districts may transfer up to 100 percent of these funds. Under REAP-Flex, an LEA must spend these funds on local activities authorized under one of these programs, but does not have to meet the set aside requirements of those programs.

## Section 2 – Title I.A Improving the Academic Achievement of the Disadvantaged

### Legislative Purpose

Title I was enacted to ensure that all children have a fair, equal, and significant opportunity to obtain a high-quality education and reach, at a minimum, proficiency on challenging state academic achievement standards and assessments. This can be accomplished by meeting the educational needs of low-achieving children, closing the achievement gap between high- and low-performing children, high standards for all students, enriched and accelerated instruction, decentralized decision making, improved accountability, high-quality professional development, coordination and integration of services, expanded family involvement, extended learning time, and early intervention.

### Annual Title I Allocation Timeline

#### January

- DFP receives updated census data from USDE
- Publish comparison of census data and post to website for LEAs to review
- Inform LEAs of census data appeal process to USDE

#### March/April

- April deadline for LEAs to file Census data appeal to USDE
- DFP receives preliminary Title I allocations from USDE

#### May/June

- DFP receives final Title I allocations from USDE
- DFP runs final Title I allocations for LEAs
  - If DFP receives final Title I allocations from USDE in a timely enough fashion, finals are posted to eGrants in time for application submission
  - If not, LEAs will apply using preliminary Title I allocations, and DFP will post finals to website as soon as they are available, so that LEAs can plan for later amendments

#### July/August

- Consolidated Application due to PDE

#### September/October

- DFP surveys all open and operating charter schools to update enrollment figures in order to run revised Title I allocations (required by law)

#### January/February

- DFP releases final Title I allocations, adjusted for charter school updates, then loads those allocations onto the eGrants system in order for LEAs to submit

upward/downward amendments

## **Community Eligibility Provision Effects on Title I School Ranking**

The Healthy, Hunger-Free Kids Act of 2010 (Public Law 111-296) offers local education agencies (LEA) an alternative to collecting household applications in the National School Lunch and National School Breakfast Programs, which eliminates the unnecessary paperwork and frustration that can go along with the process.

The Community Eligibility Provision is a reimbursement option for eligible LEAs and schools that wish to offer free meals to all children in high-poverty schools. This program is administered via the Division of Food and Nutrition in the Pennsylvania Department of Education. Detailed information regarding the program can be found at: <http://www.education.pa.gov/Teachers%20-%20Administrators/Food-Nutrition/Pages/default.aspx#tab-1>

The adoption of the Community Eligibility Provision will have an effect on other program areas, including the Division of Federal Programs. Title I building rankings may be affected. Several examples are included in the following document.

## **Reservation of Funds**

Before allocating funds to your eligible school buildings, LEAs must first reserve funds from their allocation to meet certain required (and optional) set asides.

### **Required:**

- **Parent Involvement** - Minimum of one percent for parent involvement if Title I allocation is greater than \$500,000
- **Neglected** - Allocation for Title I services provided to Neglected Institutions
- **Non Highly Qualified Teachers** - Minimum of 5 percent of Title I allocation to train teachers that are not highly qualified
- **Focus or Priority designation** - 20 percent of Title I allocation to provide meaningful interventions directly related to the seven turnaround principles outlined in Pennsylvania's approved ESEA waiver
- **Homeless** - Set-aside for providing Title I services and support services to homeless students attending non-Title I schools. No minimum or maximum is defined by law. Exemptions include charter schools and LEAs where all buildings in the LEA are Title I buildings.

### **Optional:**

- **Audit** - Cost to conduct annual audit of federal programs
- **Community Day Programs** - Costs associated with providing Title I pre-school programs and services in a community based setting, such as community

- centers
- **Indirect Costs** - All or part of the restricted indirect costs rate approved for the LEA
  - **Operations & Maintenance** - Activities concerned with keeping the physical plant open, comfortable and safe for use, and keeping the grounds, buildings, and equipment in effective working condition and state of repair
  - **District-Wide Professional Development** - Costs for providing district-wide Title I professional development
  - **Pupil Transportation** - Costs for providing transportation for extended day Title I programs
  - **Pre-School Programs** - An LEA may reserve an amount from its total Title I allocation to operate an LEA-based Title I preschool program for eligible children in the district as a whole or for a portion of the district  
*Note: although pre-kindergarten students may be served with Title I funds, they must not be included in the numbers used to determine building eligibility or building allocations*
  - **Program Evaluation** - Activities associated with the LEA evaluation of the effectiveness of federal programs (local assessments)
  - **Salary & Fringe Benefit Differentials** - LEAs may reserve the difference in salary costs as this relates to the beginning step on a pay scale for an instructional teacher in a Title I school vs. a Title I teacher at the top of a pay scale
  - **Summer & Intersession Programs** - Costs associated with providing Title I summer school, extended day or extended year programs
  - **State & Federal Liaison** - Costs associated with staff responsible for administering the Title I program in an LEA

## Building Eligibility and the Selection of Schools (SOS)

For Title I purposes, low-income children counted within each building are those in families eligible for free and reduced lunches according to the income scale established by the National School Lunch Act. Temporary Assistance to Needy Families (TANF), Medicaid, Census, or direct certification under the Community Eligibility Provision program (CEP) are other allowable identification sources that may be used to determine building poverty levels necessary for qualifying schools for Title I and their funding levels. In place of using counts in a middle or high school, a district may use the feeder pattern. The feeder pattern allows LEAs to project the percent of low-income children in a middle or high school based on the average poverty rate of all the attendance areas feeding into the middle or high school. LEAs should indicate on SOS that they are using the feeder pattern.

When determining Title I enrollment and poverty counts for allocation purposes, only K-12 students can be counted. Pre-K students can be served, but are not used to determine building eligibility or building allocations.

An LEA must use Title I funds only in eligible school attendance areas (school

buildings). The SOS is completed as part of the Consolidated Federal Programs Application to determine which buildings are eligible for Title I allocations and services. Based on the low-income percentages in each building, LEAs must annually rank their buildings from highest to lowest using either a grade-span or a district-wide basis.

A district must serve all buildings with a percentage of low-income children of 75 percent or higher. This requirement pertains even to districts exempt from ranking.

If funds remain after serving schools with 75 percent, the district shall then rank and serve the remaining eligible attendance buildings.

Eligibility for buildings that are below 75 percent educationally disadvantaged is determined by choosing one of the following methods found in SOS in the application:

1. Exempt: A single building per grade span
2. Exempt: LEA with multiple attendance areas (two or more buildings having at least one of the same grades) and with total enrollment of less than 1,000
3. Eligible: Attendance areas with poverty levels greater than or equal to:
  - a. The average of the whole district
  - b. The average of similar grade spans
4. Attendance areas with poverty levels greater than or equal to 35 percent:
  - a. Ranking within entire district
  - b. Ranking by same or similar grade spans
5. Grandfather Clause - This exception may be made for only one year for a school that was eligible and served in the preceding fiscal year but is not eligible this year. LEAs must contact their regional coordinator to utilize the Grandfather Clause.

### Targeted Assistance Program

If a school receives Title I funds in accordance with the LEAs Title I eligibility criteria and does not operate an approved schoolwide program (either because it doesn't qualify with 40 percent poverty or the school chooses not to offer a schoolwide program), then the school is a Targeted Assistance School (TAS).

An eligible Title I student is identified as "failing, or most at risk of failing, to meet the state's challenging student academic achievement standards." The school will make this decision based on multiple, educationally related, objective criteria established by the LEA and supplemented by the school.

## Title I Student Selection

In a targeted assistance program, Title I law requires that selection of Title I students be based on objective, uniformly applied criteria given to all students at each grade level and documented on a student selection worksheet. Listed below are specific points to keep in mind regarding the student selection process.

- The criteria for eligibility for Title I services must be objective, education-related, and uniformly applied.
- Selection criteria for students in grades three and above must be objective. However, the law does allow for subjective criteria to be used for grades K-2 (i.e. teacher referral).
- Worksheets must be used to compare and document student data for selection of who will receive services. The students must be ranked in priority order according to greatest need for services.
- The selection criteria should be given to all students in any particular grade.
- Examples of criteria used for student selection could include: report card grades, book tests, informal reading inventories, Dibels, PSSA, etc.
- The student selection worksheet must list each of the criteria you use so that it is easy to see that students were selected uniformly and objectively.
- Multiple selections or criteria must be used to determine eligibility.
- Economically disadvantaged, LEP, and migrant students are eligible on the same basis as all other students. Professional staff cannot exclude them just because they are receiving other services.
- While children with disabilities may qualify for Title I, a school may decide that the non-Title I services these children are receiving are sufficient to enable them to meet the state's challenging standards. However, it is possible that students receive services from both special education and Title I simultaneously.
- If a new student moves into the district, they must be selected and ranked in the same way as the other eligible students receiving services. Even if they received services in another school, they must meet the new school's criteria before receiving services.

Students automatically eligible for services:

- Participants of Head Start, Even Start, Early Reading First or Title I preschool services at any time within the previous two years
- A child attending a community day program or living in a state or local neglected or delinquent institution
- A child served in the previous two years under Migrant Education program
- Homeless children

#### Components of a Targeted Assistance Program

- Use Title I funds to help children meet state’s challenging academic achievement standards expected for all children
- Planning for Title I services are incorporated into existing school planning
- Use effective methods and instructional strategies that rely on scientifically based research
- Coordinate with and support the regular educational program, which may include services to assist preschool children into early childhood programs such as: Head Start, Even Start, Early Reading First or state-run preschool programs
- Provide instruction by “highly qualified” teachers
- Provide professional development activities using Title I resources
- Provide strategies to increase parental involvement, such as family literacy services
- Coordinate and integrate federal, state and local services and programs for violence prevention, nutrition, housing, Head Start, Adult Education, vocational and technical education and job training

Each school must assist the identified students in meeting the state’s proficient and advanced levels of performance by coordinating Title I funds with funds received from other sources. Additionally, the school providing targeted assistance must review the progress of participating children on an ongoing basis.

#### Schoolwide Program (SWP)

A Schoolwide Program is based upon a comprehensive reform strategy and is designed to upgrade the entire educational program in a Title I school. Its primary goal is to ensure that all students, particularly those who are low-achieving, demonstrate proficient and advanced levels of achievement on State academic achievement standards. This schoolwide reform strategy requires that a school:

- Conduct a comprehensive needs assessment
- Identify and commit to specific goals and strategies that address to needs
- Create a comprehensive plan
- Conduct an annual review of effectiveness of the Schoolwide Program and revise the plan as necessary

If a school has at least a 40 percent poverty level, it qualifies to have a Schoolwide

Program (SWP). An SWP school no longer targets individual students to receive Title I assistance since all children in the school are considered Title I and any programs, activities, and equipment are also Title I. If a school has at least 30 percent poverty and it's interested in becoming an SWP school, then it may apply for an SWP waiver.

In general, Schoolwide Programs:

- Plan for comprehensive, long-term improvement
- Serve all students with highly-qualified teachers and paraprofessionals
- Provide continuous learning for staff, parents, and the community
- Use research-based practices to develop and implement enriched instruction for all students
- Use research-based and inclusive approaches to strengthen the school's organizational structure
- Consolidate funding sources to achieve program goals
- Engage in continuous self-assessment and improvement

A school operating a Schoolwide Program must conduct a comprehensive needs assessment that identifies the school's strengths and challenges in key areas that affect student achievement. This is the first of ten program planning components that must be addressed. It forms the basis for the areas of priority in the planning process.

The school must then develop a comprehensive schoolwide plan that describes action items for the nine remaining program components. These action items describe how the school will achieve the goals it has identified as a result of its needs assessment. The schoolwide plan must:

1. Identify reform strategies, aligned with the needs assessment, that are research-based and provide opportunities for all children to meet the state's proficient or advanced levels of academic achievement
2. Provide instruction by highly qualified teachers
3. Offer high-quality, ongoing professional development
4. Create strategies to attract highly qualified teachers
5. Create strategies to increase parental involvement
6. Develop plans to assist preschool teachers through the transition from early childhood programs to local elementary school programs
7. Identify measures to include teachers in decisions regarding the use of academic assessments
8. Conduct activities to ensure that students who experience difficulty attaining proficiency receive effective, timely, additional assistance
9. Coordinate and integrate federal, state, and local services and programs

Additionally, the school plan must document that it has met the intent and purposes of each program for which funds have been consolidated [34 CFR 200.29] if it chooses to consolidate funds from Title I, Part A, and other federal education program funds and resources without maintaining separate fiscal accounting records by program, or meeting most statutory requirements of those programs [Section 1114(b)(1) of Title I of

ESA]. Please refer to Volume 69, No. 127, of the Federal Register dated July 2, 2004, for more information on the programs that can be consolidated in a Schoolwide Program and examples of how to meet the intent and purposes of such programs. A copy of this document may be found at <http://www.gpo.gov/fdsys/pkg/FR-2004-07-02/pdf/04-15121.pdf>.

The school must evaluate annually the outcomes and the plan's implementation to determine whether the academic achievement of all students, and particularly of low-achieving students, improved, whether the goals and objectives contained in the plan were achieved, and if the plan is still appropriate as written.

## Schoolwide Program Approval

In order to run a Schoolwide Program, schools, including charters, must complete either the School Level Plan with Addendum; or the Title I Schoolwide Planning Template; or the School Improvement Plan with Addendum and have it approved by DFP. (Note: the third option of School Improvement Plan with Addendum is for Priority and Focus buildings applying for Schoolwide Program approval.) It may be submitted for approval at any time during the year once the school and district have sufficiently completed the process. The only caveat is that the law requires that the plan shall be developed over a one-year period, unless DFP determines that less time is needed to develop and implement the Schoolwide Program. The approved plan must be kept on file with the school and updated on a yearly basis.

When requesting approval for a school to begin implementation of a Schoolwide Program:

1. The district must sign and submit "Intent to Plan" form prior to plan development. This will lock in the date.
2. Waiver request must be submitted if the school's poverty level is between 30 percent and 40 percent.

These documents can be found on the Division of Federal Programs webpage at [Title I Schoolwide Programs](#).

## Process for Schoolwide Program Approval

The following is the process for gaining approval to operate a Schoolwide Program. All of the following must be completed in entirety before a school may operate a Schoolwide Program.

1. School or district notifies the state of the school's intent to become a Schoolwide

- Program.
2. The School Leadership Team completes the Schoolwide Plan.
  3. The state will review all documentation for final approval.

## LEA Discretion

The LEA may elect not to serve an eligible attendance area that has a higher percentage of children from low-income families if the school meets the comparability requirements, is receiving supplemental funds from other state or local sources that are spent in accordance with schoolwide or targeted assistance requirements, and the funds expended from other sources equal or exceed the amount of Title I funds that would be provided. If the LEA chooses this option, it shall determine private student participation without regard to the fact that the public school children in this school are not participating in Title I.

## Allocation Procedures for Eligible Schools

Before determining the allocations for eligible schools, the LEA must set aside sufficient funds to provide comparable services to neglected or delinquent children in local institutions and eligible homeless children who do not attend participating schools. In addition, the LEA may wish to set aside funds for salary differentials, and Title I district-wide costs (administration, preschool, parent involvement, and professional development). If required, an LEA should set aside funds for Focus or Priority interventions, or Highly Qualified Teachers and Paraprofessionals.

LEAs must allocate Title I funds to eligible buildings in rank order based on the percentage of the total number of children from low-income families in each attendance area. A district is not required to allocate the same per-child amount to each school, as long as the largest per-child allocation goes to the highest ranked attendance area and the next ranked attendance area receives an equal or smaller allocation per child.

LEAs that opt to serve schools having a poverty rate below 75 percent and using grade span grouping may determine different per-child amounts for different grade spans as long as those amounts do not exceed the amount allocated to any school above 75 percent poverty. Per-child amounts within grade spans may also vary as long as the LEA allocates higher per-child amounts to schools with higher poverty rates than it allocates to schools with lower poverty rates.

An LEA serving any school(s) with a poverty rate less than 35 percent must allocate to all schools at least 125 percent of the LEA's allocation per low-income child.
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## Homeless Students

### Who is homeless?

The term “homeless children and youth” –

- a) Means individuals who lack a fixed, regular, and adequate nighttime residence; and
- b) Includes –
  - i) Children and youths who are sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; are living in motels, hotels, trailer parks, or camping grounds due to the lack of alternative accommodations; are living in emergency or transitional shelters; are abandoned in hospitals; or are awaiting foster care placement;
  - ii) Children and youths who have a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings;
  - iii) Children and youths who are living in cars, parks, public spaces, abandoned buildings, substandard housing, bus or train stations, or similar settings; and
  - iv) Migratory children who qualify as homeless for the purposes of this subtitle because the children are living in circumstances described in clauses (i) through (iii).

### Homeless Set Aside

A homeless child is any child who lacks a fixed, regular, and adequate nighttime residence. Under NCLB, homeless children are automatically eligible for Title I services and districts must provide funds for the special needs they have so that they may receive comparable services to non-homeless students.

Since Title I schools will already have money that can provide for a homeless child's needs, the mandatory set aside applies to any district that has a non-Title I building. Although there is no minimum amount for this set aside, it should be decided upon through consultation between the Title I coordinator, the Homeless Liaison, and any other involved parties.

Title I funds for the homeless should work in conjunction with McKinney-Vento funds. The McKinney-Vento Act provides federal funds which are specifically used for the needs of homeless students. Title I funds for the homeless should be used to supplement, and be used after, McKinney-Vento and other federal funds.

As with other Title I expenditures, money spent toward helping homeless students should be to supplement, and not supplant, state and local funds. However, more flexibility is allowed with applying funds toward the homeless than with other Title I uses.

## Expenditures for Homeless Students

Set-aside activities should be designed to assist homeless students with meeting state academic standards or to help them effectively take advantage of educational opportunities. ED Guidance (2009) issued on the American Reinvestment and Recovery Act (ARRA) provides a list of possible services Title I, Part A funds may support for homeless students. While this is not an exhaustive list, it does provide examples districts may find useful:

- Items of clothing, particularly if necessary to meet a school's dress or uniform requirement
- Clothing and shoes necessary to participate in physical education classes
- Student fees that are necessary to participate in the general education program
- Personal school supplies such as backpacks and notebooks
- Birth certificates necessary to enroll in school
- Immunizations
- Medical and dental services
- Eyeglasses and hearing aids
- Counseling services to address anxiety related to homelessness that is impeding learning
- Outreach services to students living in shelters, motels, and other temporary residences
- Extended learning time (before and after school, Saturday classes, summer school) to compensate for lack of quiet time for homework in shelters or other overcrowded living conditions
- Tutoring services, especially in shelters or other locations where homeless students live
- Parental involvement specifically oriented to reaching out to parents of homeless students
- Fees for AP and IB testing
- Fees for SAT/ACT testing
- GED testing for school-age students
- Transportation of homeless students to and from school of origin
- Homeless liaison (either part or full) salary

## Comparability of Services

Section 1120A(c) of the Elementary and Secondary Education Act (ESEA) provides that an LEA may receive Title I, Part A funds only if it uses state and local funds to provide services in Title I schools that, taken as a whole, are at least comparable to the services

provided in schools that are not receiving Title I funds. If the LEA serves all of its schools with Title I funds, the LEA must use state and local funds to provide services that, taken as a whole, are substantially comparable in each Title I school.

Demonstrating comparability is a prerequisite for receiving Title I, Part A funds. Because Part A allocations are made annually, comparability is an annual requirement.

To be in compliance with comparability, an LEA must first complete a Detailed School Data Sheet if it has more than one building per grade span. Please note that when comparing buildings on a grade span basis, *similar* grade spans should be compared (as defined by a two-grade span difference or less, e.g. you would compare a K-2 school with a K-4 but would not need to compare a K-2 school with a K-5). Second, **all** LEAs must complete, print out, and sign the Comparability Assurance form with the required signatures and mail it in to the Division of Federal Programs by November 15 of each year.

## Services for Nonpublic School Children

Annually, an LEA must contact officials of nonpublic schools with children who reside in an eligible and participating school within the LEA, regardless of whether the nonpublic school they attend is located in the LEA. The LEA must maintain documentation by an official of each nonpublic school affirming that the required consultation has occurred.

LEA officials will consult with appropriate nonpublic representatives in a timely manner during the design and development of programs for nonpublic school children on the following issues:

- how educationally deprived children and their needs will be identified
- what services will be offered to meet the identified needs
- how and where the services will be provided
- how the services will be assessed
- the number of educationally deprived children who will be served
- the proportion of funds allocated for the services

Consultation must occur before the LEA makes any decision affecting the opportunities of nonpublic school children to participate in Title I programs. In consultation with nonpublic school officials, the district must also establish criteria to determine which nonpublic school children are eligible and, within the eligible group, which children will be served. If the district, in consultation with nonpublic school officials, determines that it is inappropriate to select nonpublic children on the basis of state standards, the district must select nonpublic school children who are at risk of failing to meet high levels of achievement comparable to those required by the state's standards.

## Qualifications for all core-content teachers in an LEA

Based on the Every Student Succeeds Act (ESSA), the federal requirements for all core-content teachers to be highly qualified will be eliminated effective August 1, 2016. LEAs will ensure that all teachers and paraprofessionals working in a program supported with Title I meet applicable state certification and licensure requirements, including any requirements for certification obtained through alternative routes to certification.

For specific information on proper certification of teachers in Pennsylvania, please contact the Bureau of School Leadership and Teacher Quality at (717) 787-3356 or [Highly Qualified Teacher Guidelines](#).

## Neglected and Delinquent Programs

All locally administered facilities for neglected children will receive from the Division of Federal Programs (DFP) the Annual Survey of Children in Local Institutions for Neglected or Delinquent Children (PDE-3048). The survey form is completed by the administrative officer of the institution and requests the following information:

- Type of Institution: Neglected or Delinquent
- Eligibility: The children in the facility must be between the ages of 5-17, reside in the facility, under 24 hour care, during any portion of the period from October 31 to November 29
- Documentation: The institution returns to DFP the PDE-3048 form and documentation that shows the children(s) name (or Identification Number, for confidentiality purposes), birth date, admission date, and their discharge date (if released)

The form must be returned to DFP by December 9 of each year. The forms are used to compile a list of eligible children which are forwarded to the United States Department of Education (USDE). The data collected from Pennsylvania along with the other states help determine the following year's Title I and Title I Part D allocations.

If a new institution has opened, the LEA or the institution may request this form from DFP so that funds will be generated for these children.

The allocation for neglected children comes from Title I and will be accounted for separately. The amount of the neglected allocation can be found by clicking on the Title I Neglected on the Title I project. Funds for neglected children should be spent on services comparable to those provided to other public school children.

The allocation for delinquent children comes from Title I Part D and will be accounted for separately. The amount of the delinquent allocation can be found by clicking on the Title I Delinquent on the Title I Part D project. Funds for delinquent children should be

spent on services comparable to those provided to other public school children.

## Annual Title I Evaluation

Each Title I school must review data annually to assess the effectiveness of its Title I program. Those attending this annual evaluation should include Title I teachers and paraprofessionals, classroom teachers, and building administrators who will decide what is effective and what needs to be changed.

Documentation of this program evaluation should include:

- Appropriate representation of school personnel
- Agenda
- Sign-in sheet from attendees
- Review of student achievement data
- Review of parents' evaluation
- Review of program strengths and weaknesses
- Documentation of recommendations and revisions

Schools should also meet with Title I parents in the spring term to evaluate Title I services and the district's and school's parent involvement policy. Input from parents, such as a survey, should be considered as part of the annual Title I evaluation.

## Title I Reward School Grant

### Specific Guidelines

The Title I Reward School Grant allows Reward Schools the opportunity to compete for two grants, Innovation and Collaboration. In the Innovation Grant, applicants submit innovative practices that promote the implementation of new learning structures and processes designed to meet individual student needs. The Innovation Grant projects must be able to serve as a replicable model with the potential to be brought to scale. In the Collaboration Grant, applicants make a commitment to work with a Focus School within their respective geographic region. The Collaboration Grant projects must demonstrate how the Reward school will mentor the Focus school and include measurable outcomes for them to achieve in one or more area of need.

### Timeline for Competitive Application Process

Title I Reward school awards are made after a rigorous application and review cycle that occurs after the determination of the eligible Reward schools.

### General Information

All grant funding is pending availability of appropriate and allowable funding sources.

The Title I Reward Grant funds must be used in accordance with allowable uses. For information on the Title I Reward Grant please contact Erin Derr at [jder@pa.gov](mailto:jder@pa.gov).

### **School Intervention Grant 1003(a)**

(previously known as School Improvement Grant)

A set aside from the state Title I allocation is available to all schools identified as Priority or Focus. An online application via eGrants must be completed and signed by the LEA superintendent or CEO. Once the application has been approved the LEA will receive an approval letter noting the date to begin obligation of funds. Funds are to be used to support the selected intervention(s) to meet the educational needs that caused the school not to meet Annual Measurable Objectives. End date for funds is extended through the following September 30th, therefore carryover is not necessary.

### **School Improvement Grant 1003(g) SIG**

An additional School Improvement Grant (SIG) is authorized under Section 1003(g) of the Title I ESEA and is available through a competitive grant.

### **Focus/Priority Requirements**

Under Pennsylvania's approved ESEA waiver, LEAs with one or more schools identified with a Focus or Priority designation will be required to set aside 20 percent of their LEA Title I allocation for meaningful interventions aligned with their Comprehensive Plan. Any unused amounts may be rolled back into the LEA's regular Title I allocation. All Title I rules apply to the 20 percent set aside expenditures.

## **Section 3 – Title I.D Prevention and Intervention Programs for Delinquent and At-Risk Students**

### **Legislative Purpose**

The purpose of Title I.D is to support district programs that collaborate with locally operated delinquent correctional facilities in these ways:

- to carry out high-quality educational programs to prepare children and youth for secondary school completion, training, employment, or further education
- to provide activities to facilitate the transition of children and youth from the correctional program to further education or employment

All locally administered facilities for delinquent children will receive, from the Division of Federal Programs (DFP), the Annual Survey of Children in Local Institutions for Neglected or Delinquent Children (PDE-3048). The survey form is completed by the

administrative officer of the institution and requests the following information:

Type of Institution: Neglected or Delinquent

Eligibility: The children in the facility must be between the ages of 5-17, reside in the facility, under 24 hour care, during any portion of the period from October 31 to November 29.

Documentation: The institution submits the PDE-3048 form and documentation that shows the children(s) name, birth date, admission date, and their discharge date (if released).

The form must be returned to DFP by December 9 of each year. The forms are used to compile a list of eligible children, which are forwarded to the United States Department of Education (USDE). The data collected from Pennsylvania along with the other states help determine the following year's Title I and Title I Part D allocations.

If a new institution has opened, the local educational agency (LEA) or the institution may request this form from DFP so that funds will be generated for these children.

The allocation for neglected children comes from Title I and will be accounted for separately. The amount of the neglected allocation can be found by clicking on Title I Neglected on the Title I project. Funds for neglected children should be spent on services comparable to those provided to other public school children.

The allocation for delinquent children comes from Title I Part D and will be accounted for separately. The amount of the delinquent allocation can be found by clicking on Title I Delinquent on the Title I Part D project. Funds for delinquent children should be spent on services comparable to those provided to other public school children.

## **Delinquent Institution Plan**

The LEA in which an eligible delinquent institution is located and wishes to use Title I Part D funds to operate prevention and intervention programs for delinquent or other at-risk youth, must submit a plan for DFP review every year. The plan is completed on the eGrants application.

## **Financial Records**

The amount of the delinquent allocation may be found by clicking on the Delinquent Institution link on the Title I Part D Menu on eGrants. Each spring, the Division of Federal Programs staff will contact LEAs regarding the allocations for the delinquent institutions located within their districts. Delinquent funds must be accounted for separately. Any portion of the delinquent allocation budgeted for delinquent services may NOT be used by the LEA for any other purpose. A Final Expenditure Report (FER) must be submitted to DFP by October 30 or when funds are expended.

## Evaluation

Annually, each state agency and LEA must evaluate its prevention and intervention programs for youth who are delinquent or at risk of dropping out. Participation data must be disaggregated by gender, by race/ethnicity, and by age. The disaggregation shall not be required in a case in which the number of students in a category is insufficient to yield statistically reliable information or the results would reveal personally identifiable information about an individual student.

Evaluations should use multiple and appropriate measures of student progress. The results must be submitted to DFP and used to plan and improve subsequent programs for participants.

The evaluation should be used to determine the program's impact on the ability of participants to:

- maintain and improve educational achievement
- accrue credits for grade promotion and graduation
- make the transition to a regular school program or other education program operated by the LEA
- complete secondary school or its equivalent and obtain employment after leaving the correctional facility or institution for neglected or delinquent children and youth
- participate in postsecondary education and job training programs, as appropriate

## Section 4 – Title I.G – Advanced Placement Fee Reduction Program

### Specific Guidelines

These funds will enable PDE to pay a portion of the test fee charged to low-income students who are enrolled in an advanced placement class and who take an advanced placement test in the spring.

### Payment Process

Test fees for low-income students (public and private) will be paid directly to the College Board by the state. Please note that the provisions of Section 427 of the General Education Provisions Act (GEPA), which provide for equitable access and participation, apply to these AP fee reduction funds. School personnel responsible for ordering AP exams will simply need to follow the directions on AP Central website in order to access state funds for their low-income students' test fees.

### General Information

If you need additional assistance or information about any aspect of the Advanced Placement Test Fee Program, please contact Ken Krawchuk at [kkrawchuk@pa.gov](mailto:kkrawchuk@pa.gov). Information may also be obtained directly from the College Board via [www.collegeboard.org](http://www.collegeboard.org).

## Section 5 – Title II.A Training and Recruiting High Quality Teachers and Principals

### Legislative Purpose

The purpose of Title II.A is to increase student academic achievement by improving teacher and principal quality through high quality professional development. This will result in the hiring of additional highly qualified teachers and principals to reduce class sizes in core academic subjects.

### Title II.A Nonpublic Equitable Distribution

Annually, PDE calculates allocations for nonpublic schools that indicate they want to participate in Title II.A and allocates the appropriate funds to the intermediate units to administer as part of their nonpublic professional development programs.

### Additional Nonpublic Equitable Distribution Requirements for Title II.A

If an LEA budgets a large portion of its Title II A funds for professional development, it may be required to provide additional funds to support the nonpublic professional development program at the IU.

The additional funds are generated because the Title II funding formula for nonpublic schools in NCLB does not include a method for nonpublics to receive an equitable share of staff development dollars allocated at the LEA level.

eGrants will notify the LEA (on the carryover page of the Title II A budget section) if the staff development costs are high enough to generate additional nonpublic dollars. If so, please contact the nonpublic coordinator at the local IU and make arrangements to transfer the dollar amount listed on eGrants to the IU for use in its nonpublic professional development program.

### Equitable Teacher Distribution Plans

There are two provisions of ESEA that help us to understand the purpose of and the responsibilities associated with an equitable distribution plan.

Section 1111 (b) (8) (C) of the ESEA pertains to *State Educational Agencies*

Section 1112 (c) (1) (L) of the ESEA pertains to *Local Educational Agencies*

## **State Educational Agencies – Section 1111 (b) (8) (c) of the ESEA states that...**

“each SEA plan must include steps that the state educational agency will take to ensure that poor and minority children are not taught at higher rates than other children by inexperienced, unqualified or out-of-field teachers, and the measures that the state educational agency will use to evaluate and publicly report the progress of the state educational agency with respect to such steps.”

## **Local Educational Agencies – Section 1112 (c) (1) (L) of the ESEA states that...**

“each LEA plan must include an assurance that the LEA will ensure, through incentives for voluntary transfers, the provision of professional development, recruitment programs, or other effective strategies, that low-income students and minority students are not taught at higher rates than other students by unqualified, out-of-field, or inexperienced teachers.”

*What this means:*

*LEAs must analyze data -*

- *To identify why teachers are not highly qualified*
- *To determine if novice (less experienced) teachers are concentrated in specific schools*
- *To measure progress*
- *To determine if strategies in the plan are working or should be changed*
- *To revisit the plan regularly and update as needed*

For additional information regarding Equitable Teacher Distribution Plans, please contact a regional coordinator.

## **Section 6 – Title II.B Math and Science Partnerships**

### **Specific Guidelines**

The Title IIB/Math and Science Partnership Program (MSP) allows LEAs (local educational agencies) to collaborate with institutes of higher education (IHE) for staff professional development. Math and science teachers receive professional development in the form of content knowledge enhancement. IHE staffs deliver intensive and comprehensive training during an initial summer program and during year-round follow-up activities.

## Timeline for Competitive Application Process

Title IIB awards are made after a rigorous application and review cycle that occurs every three years. The next open application process will begin in the spring of 2016.

## General Information

LEAs with established Title IIB programs are often in need of teacher participants. For information on the availability of professional development activities made possible through existing Math and Science Partnerships, please contact Jesse Fry at PDE at [jefry@pa.gov](mailto:jefry@pa.gov).

## Section 7 – Title III Language Instruction for Limited English Proficient and Immigrant Students

### Legislative Purpose

The purpose of Title III is to ensure that Limited English Proficient (LEP) students, including immigrant children and youth that are also identified as LEP students, develop English proficiency and meet the same academic content and academic achievement standards that all children are expected to meet. State educational agencies (SEA), local educational agencies (LEAs), and schools are accountable for increasing the English proficiency and core academic content knowledge of LEP students. LEAs use these funds to enhance language instruction educational programs designed to help LEP students achieve these standards.

The LEA may select one or more methods of instruction, consistent with federal and state guidelines and requirements, to assist LEP students to attain English proficiency and meet academic content and academic achievement standards. Language instruction curriculum must be founded on scientifically based research and have demonstrated effectiveness.

### Eligibility

To be eligible for Title III funds, LEAs must:

- Complete both the LEP and the PIMS SYSTEMS annual online data collection (this covers both public and nonpublic student enrollment count)
- Complete the assessment (ACCESS for English Language Learners) database
- Complete the administration, and return, of the assessment for identified ELLs

- Meet the \$10,000 threshold based on student population reported in the LEP System or have an immigrant allocation. Consortium projects can pull in LEAs with allocations under \$10,000.

## Funding Requirements

The LEA may use no more than two percent of its subgrant for administrative costs as per Section 3114(a) of ESEA. If the LEA does not meet the minimum \$10,000 threshold for LEP students, the LEA cannot receive Title III funding unless the LEA enters into a consortium to accept the funds as per Section 3114(b). This threshold applies only to LEP funds. Any amount of immigrant funding can be applied for, as long as the LEA meets the requirements for immigrant funding. To qualify for immigrant funding, the LEA must have had at least a 10 percent increase in the number of immigrant students over the average of the previous two years which included at least 10 additional immigrant students.

## Accountability Provisions

Title III requires that states hold Title III subgrantees accountable for meeting Annual Measurable Achievement Objectives (AMAOs) for English learners. The AMAOs are:

- 1) making annual progress on the ACCESS (Assessing Communication and Comprehension in English State to State) for English Language Learners
- 2) attaining English proficiency on ACCESS
- 3) making Adequate Yearly Progress (AYP) for the LEP subgroup at the LEA level

When determining if a consortium has met the Title III AMAOs, the data for the consortium lead and the consortium members are aggregated up to the consortium level to determine if the AMAOs have been met.

LEAs will receive notification from PDE annually after results of the annual English language proficiency assessment are provided to PDE and analyzed by the Bureau of Assessment and Accountability. Results will be sent to LEAs and posted on the PDE website.

If an LEA fails to meet the AMAO targets for two consecutive years, the LEA shall develop an improvement plan that will ensure that the AMAOs are met. The improvement plan shall specifically address the factors that prevented the LEA from achieving the AMAOs. The plan may apply to targeted schools rather than the entire LEA if the particular factors that prevented the LEA from meeting the AMAOs warrant such an approach. If the LEA fails to meet the AMAOs for four consecutive years, the state shall require the LEA to modify its curriculum, program, and method of instruction or determine whether the LEA will continue to receive Title III funds (Section 3122 (b)). A consortium is held accountable as a single entity; however, the consortium lead, at its discretion and with agreement from its member LEAs, may identify those member LEAs that failed to meet AMAO targets for the purpose of employing the accountability

provisions described above.

### **Participation of Nonpublic Students**

Nonpublic students qualify for Title III funding and should be given Title III services through the district. Districts are responsible for nonpublic students in any nonpublic school within the district's geographic boundaries. Information concerning the nonpublic Title III students and the program presented should be determined through the consultation process. The numbers of nonpublic immigrant and ELL students should be entered in the LEP database.

### **Pennsylvania Information Management System (PIMS) / Limited English Proficient (LEP) System**

Information on ESL/Bilingual Education Programs, English Language Learners, teachers, and Title III program information for the purpose of reporting data to the Pennsylvania Department of Education and the United States Department of Education is collected in the PIMS and LEP) databases. These systems are used to determine Title III funding for districts that qualify and participate in Title III funding opportunities. To comply with NCLB federal reporting requirements as well as state reporting requirements, each year LEAs, charter schools and comprehensive AVTS/CTC must complete the PIMS and LEP systems and assessment database regardless of English language learner enrollment.

### **Data Collection Required by USDE**

LEAs and IU leads that received Title III funding must keep track of the impact of professional development activities used with Title III funding. This information is collected every fall in eGrants and every recipient of Title III is required to complete it.

### **Annual State English Language Proficiency Assessment**

The Pennsylvania Department of Education has joined the multi-state World Class Instruction Design and Assessment (WIDA) Consortium. The WIDA Consortium developed an assessment entitled Assessing Communication and Comprehension in English State to State for English Language Learners (ACCESS for ELLs). The Pennsylvania Department of Education has adopted the ACCESS for ELLs as the statewide assessment instrument for the required annual assessment of English language proficiency. ACCESS for ELLs is a standards-based, criterion referenced English language proficiency assessment designed to measure English language learners' social and academic language proficiency in English. It assesses social and

instructional English proficiency as well as English proficiency in the language associated with language arts, mathematics, science and social studies across the four language domains of listening, speaking, reading and writing.

## LEA Evaluation Requirements

An LEA that receives a Title III subgrant must provide to the SEA an evaluation at the end of every second fiscal year as prescribed by the SEA. The SEA and LEA must use the evaluation to improve programs and activities and to determine the effectiveness of the programs and activities in helping LEP students attain English proficiency and meet the same challenging state academic content and student achievement standards that all other students are expected to meet.

The biennial report is completed on the LEP system annual online data collection by responding to the Title III program questions each year.

## Section 8 – Title VI.B Rural Education Initiative/Rural Education Achievement Program (REAP)

### Legislative Purpose

The purpose of Title VI.B is to address the unique needs of rural districts that frequently lack the personnel and resources needed to compete effectively for federal competitive grants and that receive formula grant allocations in amounts too small to be effective in meeting their intended purposes.

### Eligibility

#### **Subpart I - Small, Rural School Achievement (SRSA) Program**

An LEA is eligible for SRSA funds if its average daily attendance is fewer than 600 and all schools served by the LEA are designated with a School Locale Code of 7 or 8 as determined by the US Office of Education. For the SRSA program, the grant allocation process, application process and payment process are handled directly through the US Office of Education.

#### **Subpart II - Rural and Low-Income School (RLIS) Program**

A district is eligible for the RLIS Program if it is not eligible for SRSA funding and if 20 percent or more of its school-age population are from families with incomes below the census poverty line, and all of the schools served by the district are designated with a School Locale Code of 6, 7 or 8 as determined by the US Office of Education. Due to these specific criteria, a district's eligibility may change from year to year.

## Allowable Uses of Funds

### Subpart I - Small, Rural School Achievement (SRSA) Programs

The LEA may use SRSA funding to carry out activities authorized under any of the following programs: Title I.A, Title II.A, Title II.D or Title III.

### Subpart II - Rural and Low-Income School Program (RLIS)

The LEA may use RLIS funds for the following:

- Teacher recruitment and retention (subject to state law)
- Professional development
- Educational technology
- Parental involvement activities
- Activities authorized under Safe and Drug-Free Schools and Communities (restrictions on security expenditures do apply here)
- Activities authorized under Title I.A
- Activities authorized under Title III

## Accountability

DFP must determine, after the third year that a district participates, whether the district has met the state's definition of adequate yearly progress. DFP may permit districts that meet the definition of adequate yearly progress to continue to participate and may permit a district that did not meet the definition of adequate yearly progress to continue to participate only if it agrees to use its consolidated funds for school improvement activities.

## PART II - UNIFORM GRANTS GUIDANCE (UGG)

The Federal Government updated and condensed all federal grants guidance documents into one uniform guidance document that will apply to ALL federal grants. Uniform Grants Guidance (UGG) went into effect on December 26, 2014. It applies to every federal funding source in each LEA/Charter School, regardless of if the funds come from USDE or another federal awarding agency. The purpose is to eliminate fraud, waste, and abuse.

The new focus of the guidance and single audits will be on performance. The expectation is that federal grant dollars are spent to meet the intent of each program which will be demonstrated through performance goals set by each LEA/Charter

School. Progress toward meeting performance goals will be reported and demonstrated through the annual performance report.

## Five UGG Policies/Procedures

LEAs/Charter Schools must create and adopt two written policies (which must be board approved) and three written procedures. Here is the list of policies/procedures:

- Policies:
  - Written Travel Policy - § 200.474(b)
  - Written Conflicts of Interest Policy - § 200.318(c)
- Procedures:
  - Written Cash Management Procedure - § 200.302(b)(6) & § 200.305
  - Written Allowability Procedures - § 200.302(b)(7)
  - Written Procurement Procedures - § 200.319(c)

There must be evidence of implementation for these policies/procedures for the 2015-16 school year, with the exception of procurement. There is a two year grace period provided by the federal government, and the procurement policy must be in place in the 2017-18 school year. To access templates for the procedures visit [www.pafpc.org](http://www.pafpc.org).

## Determining Allowability of Cost

Expenditures must be aligned with approved budgeted items. Any changes or variations from the state-approved budget and grant application need prior approval from the state, and be **Necessary and Reasonable for the performance of the federal award**. District staff must consider these elements when determining the reasonableness of a cost. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision to incur the cost was made. **It must also be allocable to the federal award**. A cost is allocable to the federal award if the goods or services involved are chargeable or assignable to the federal award in accordance with the relative benefit received. This means that the federal grant program derived a benefit in proportion to the funds charged to the program. In order to determine whether federal funds may be used to purchase a specific cost, it is helpful to ask the following questions:

- Is the proposed cost allowable under the relevant program?
- Is the proposed cost consistent with an approved program plan and budget?
- Is the proposed cost consistent with program specific fiscal rules?

- For example, the district may be required to use federal funds only to supplement the amount of funds available from nonfederal (and possibly other federal) sources.
- Is the proposed cost consistent with EDGAR?
- Is the proposed cost consistent with specific conditions imposed on the grant (if applicable)?

## Procurement

Under UGG there is new terminology for small and attractive items, they are now called micro-purchases. This is a purchase of supplies or services using simplified acquisition procedures, the aggregate amount of which does not exceed \$3,000. Small purchases are purchases between \$3,000 and \$150,000. Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than \$150,000. Purchases over \$150,000 require either a sealed bid, which is a bid that is publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the responsible bidder, whose bid, conforming with all the material terms and conditions of the invitation for bids, is the lowest in price.

Also, the LEA/CS performs a cost or price analysis in connection with every procurement action in excess of \$150,000, including contract modifications. 2 C.F.R. § 200.323(a). A cost analysis generally means evaluating the separate cost elements that make up the total price, while a price analysis means evaluating the total price, without looking at the individual cost elements.

## Property

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the district for financial statement purposes, or \$1,500.

Supplies means all tangible personal property other than those described in § 200.33 Equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the district for financial statement purposes or \$5,000, regardless of the length of its useful life.

Computing devices means machines used to acquire, store, analyze, process, and publish data and other information electronically, including accessories (or “peripherals”) for printing, transmitting and receiving, or storing electronic information.

## Subgrantee Risk Assessment

Based on the new requirements, PDE created a Subgrantee Risk Assessment that is completed on all LEAs/Charter Schools that receive federal funds. To determine risk

the following factors will be used: timely submission of reports, previous year monitor/audit findings, excessive carryover, allocation, suspension of funds, new charter school, and new federal program coordinator. Based on the points assessed, each LEA/Charter School will receive a high, medium, or low risk category.

## **Part III – FISCAL**

### **LEA Allocations**

DFP will compute and disseminate the allocations for each LEA. Allocations are posted on the federal programs website <http://www.education.pa.gov/Teachers%20-%20Administrators/Federal%20Programs/Pages/Federal%20Programs.aspx> each year when released.

LEAs are authorized to receive allocations for Title I, Part A funds that meet the four separate funding formulas: Basic Grants, Concentration Grants, Targeted Grants, and Education Finance Incentive Grant.

- Basic Grants provide funds to LEAs in which the number of children counted in the formula is at least 10 and exceeds 2 percent of an LEA's school-age population.
- Concentration Grants flow to LEAs where the number of formula children exceeds 6,500 or 15 percent of the total school-age population.
- Targeted Grants are based on the same data used for Basic and Concentration Grants except that the data are weighted so that LEAs with higher numbers or higher percentages of children from low-income families receive more funds. Targeted Grants flow to LEAs where the number of school children counted in the formula (without application of the formula weights) is at least 10 and at least 5 percent of the LEA's school-age population.
- Education Finance Incentive Grants (EFIG) distribute funds to states based on factors that measure: 1) a state's effort to provide financial support for education compared to its relative wealth as measured by its per capita income; and 2) the degree to which education expenditures among LEAs within the state are equalized.

### **Reallocation**

Excess funds will be made available for reallocation to LEAs when possible. Reallocation procedures for Title I and Title II are available on the federal programs website. Reallocation procedures for all other programs will be developed when needed.

## Funding Adjustments

Adjustments to allocations will occur in the winter of each year to reflect revised allocations from the federal government and/or adjustments in LEA allocations that may occur as a result of new charter schools opening in an LEA attendance area.

LEAs will be notified if allocation adjustments have been made. The Consolidated Application will be reopened in eGrants to allow LEAs to access the original budget and narrative and update both pieces accordingly.

## Amendments

An amendment is created when a new grant award has been added to an original application. A new sign off, either electronic or printed hard copy, will be required.

## Obligation of Funds

LEAs may use grant funds only for obligations (encumbrances) made during the grant period, as defined by the start date and termination date on the fully executed Consolidated LEA Application. The following table shows when an obligation is made for various kinds of property and services.

If the obligation is for:	The obligation is made:
Acquisition of property	On the date which the district makes a binding written commitment to acquire the property
Personal services by an employee of the district	When the services are performed
Personal services by a contractor who is not an employee of the district	On the date which the district makes a binding written commitment to obtain the services
Public utility services	When the district receives the services
Travel	When the travel is taken
Rental of property	When the district uses the property

\*If this commitment is made before the grant period, the district must include in the commitment letter or contract the following type of statement: "The provision of payment for these services is contingent on the availability of federal funds and approval for the use of those funds by DFP."

## Administrative Funds

Although federal law does not set a cap for administrative funds for programs other than Title III, DFP does periodically monitor the amount of funds LEAs budget for administrative costs. As a general rule, budgets showing administrative costs in excess of 10 percent of an LEA's allocation for any program may be flagged for questioning and follow-up.

The following types of activities are considered to be examples of administrative tasks. They are provided as a guideline for LEAs to use when determining the amount of time a federally-funded employee spends on administration. This list is not exhaustive. If there are other activities needing consideration, please contact a regional coordinator.

Examples of administrative tasks:

- Helps develop plans and application
- Supervises staff
- Oversees budget
- Monitors implementation
- Understands and informs staff of legal requirements
- Helps develop strategies
- Monitors program evaluation
- Maintains required documentation

## Interest Earned

The Cash Management Act of 1990 governs interest earned on federal funds. The specific policies for federal programs administered and funded by USDE are promulgated in Education Department General Administrative Regulations (EDGAR). Section 80.21 (i) of EDGAR requires that, subject to the exceptions in Section 80.4, subgrantees promptly, but at least quarterly, remit to the federal agency the interest earned on advances. The grantees or subgrantee may keep interest amounts up to **\$500.00** per year for administrative expenses.

Interest earned on federal funds received in advance and greater than \$500 should be sent to the following address:

U.S. Department of Education  
P.O. Box 979053  
St. Louis, MO 63197-9000

\*Also indicate on the check that it is for interest earned and on what program. The check should be **made payable to U.S. Department of Education**.

## Budget Function Descriptions

For your information in preparing your budget, the following are function descriptions for all line items.

The following detail functions are summarized under **1000 - INSTRUCTION** on the budget summary:

**1190 Additional Other Instructional Programs** – Instructional programs applicable to but not listed elsewhere in the 1400 series of accounts.

**1190-1 Reading** – Supplemental Reading activities/programs for students in grades K-12.

**1190-2 Mathematics** – Supplemental Mathematics activities/programs for students in grades K-12.

**1190-3 Language Arts** – Supplemental Language Arts activities/programs for students in grades K-12.

**1190-4 English/Second Language** – Supplemental English as a Second Language activities/programs for students in grades K-12.

**1190-5 Early Childhood (Pre-K, Kindergarten, 1 and 2)** – Use 1190-6 for Kindergarten, 1, and 2. Use 1800 for Pre-K (Supplemental Early Childhood activities/programs for students in grades K-12).

**1190-6 Other** – Include Kindergarten, 1 and 2 previously included in 1190-5 for any supplemental instructional program not covered by 1190-1 through 1190-5. Examples include: Supplemental instructional costs for programs/activities for Alternative Regular Education Programs, Adjudicated/Court Placed Programs and/or Alternative Education Programs.

**1500 Nonpublic School Programs (Instructional Costs)** – Activities for students attending a school established by an agency other than the state, a subdivision of the state, or the federal government, which usually is supported primarily by other than public funds. The services consist of such activities as those involved in providing instructional services. Attendance, social work, health services and transportation are classified to the applicable 2000 support services function for nonpublic schools.

**1800 Pre-Kindergarten** – Activities designed to provide Pre-K students with learning experiences. (Previously included under 1190-5.)

The following functions are summarized under **2100 - PUPIL PERSONNEL SERVICES**

**2100 Support Services (Pupil Personnel)** – Activities designed to assess and improve the well-being of students to supplement the teaching process and to meet the applicable provisions of Article XIII of the Pennsylvania Public School Code of 1949, as amended, and Chapter 7 of the Pennsylvania Code. Included in the subfunction are activities designed to provide program coordination, consultation, and services to the pupil personnel staff of an LEA.

**2160 Social Work Services** – Activities such as: investigating and diagnosing student problems arising out of the home, school, or community; casework and group work services for the child, parent or both; interpreting the problems of students for other staff members; and promoting modification of the circumstances surrounding the individual student which are related to his/her problem insofar as the resources of the family, school, and community can be brought to bear effectively upon the problem.

The following functions are summarized under **2200 - STAFF SUPPORT SERVICES**

**2200 Support Services (Instructional Staff)** – Activities associated with assisting, supporting, advising, and directing the instructional staff with, or on the content and process of, providing learning experiences for students.

**2220 Technology Support** (previously Audiovisual Services) – Activities such as selecting, preparing, caring for, and making available to members of the instructional staff the equipment, films, filmstrips, transparencies, tapes, TV programs, and other similar materials, whether maintained separately or as part of an instructional materials center. Included are activities in the audiovisual center, TV studio, and related work-study areas, and the services provided by audiovisual personnel.

**2240 Computer Assisted Instruction Services** – Activities concerned with planning, programming, writing, and presenting educational projects which have been especially programmed for a computer.

**2250 School Library Services** – Activities such as: selecting, acquiring, preparing, cataloging, and circulating books and other printed materials; planning the use of the library by students, teachers and other members of the instructional staff; and guiding individuals in their use of library books and materials whether maintained separately or as part of an instructional materials center. Included here are activities for planning the use of the library by students and instructing students in their use of library books and materials, whether maintained separately or as part of an instructional materials center or related work-study area.

**2260 Curriculum Development/Pre-Service** – Activities designed to provide specialized curriculum assistance to teachers and/or LEA's in developing the curriculum, preparing, and utilizing special curriculum materials, and understanding and appreciating the various techniques which stimulate and motivate students.

**2270 Staff Development** – Activities of an instructional staff development service designed to contribute to the professional or occupational growth and competence of members of the LEA instructional staff. These activities include workshops, demonstrations, and in-service courses. Included are costs for development staff members' salaries and benefits.

**2280 Nonpublic Support Services** – Activities associated with assisting, supporting, advising, and directing the nonpublic school staff with, or on the content and process of providing learning tools and experiences for nonpublic students.

The following cost functions are summarized under **2300 - ADMINISTRATIVE SUPPORT SERVICES**

**2300 Support Services (Administration)** – Activities concerned with establishing and administering policy in connection with operating the LEA.

**2350 Legal and Accounting Services** – Costs associated with the single audit of federal programs.

The following cost functions are summarized under **2400 - HEALTH SUPPORT SERVICES**

**2400 Support Services (Pupil Health)** – Physical and mental health services which are not direct instruction. Included are activities that provide students with appropriate medical, dental and nurse services.

The following cost functions are summarized under **2500 - BUSINESS SUPPORT SERVICES**

**2500 Support Services (Business)** – Activities concerned with paying, transporting, exchanging and maintaining goods and services for the LEA. Included are the fiscal and internal services necessary for operating the LEA.

The following cost functions are summarized under **2600 - OPERATION AND MAINTENANCE**

**2600 Operation and Maintenance of Plant Services** – The activities concerned with keeping the physical plant open, comfortable, and safe for use, and keeping the grounds, buildings, and equipment in effective working condition and state of repair.

The following cost functions are summarized under **2700 - STUDENT TRANSPORTATION**

**2700 Student Transportation Services** – Includes activities concerned with the conveyance of students to and from school as provided by state and federal law. It includes transportation costs only for trips between home and school.

The following cost functions are summarized under **2800 - CENTRAL SUPPORT SERVICES**

**2800 Support Services (Central)** – Activities, other than general administration, which support each of the other instructional and supporting services program. These activities include planning, research, development, evaluation, information, staff, and data processing services.

**2810 Planning, Research and Development** (previously known as Local Reform) –

Those activities, on a systemwide basis, associated with conducting and managing programs of planning, research development, and evaluation for a school system.

**2813 Evaluation Services (Program Evaluation)** – Those activities concerned with ascertaining or judging the value or amount of an action or an outcome by careful appraisal of previously specified data in light of the particular situation and the goals and objectives previously established.

**2820 Information Services (Dissemination)** – Those activities concerned with writing, editing and other preparation necessary to disseminate educational and administrative information to students, staff, manager, and the general public through direct mailing, the various news media or personal contact.

**2850 State/Federal Agency Liaison Services** – Those activities associated with acquiring, conducting and managing programs or planning, administration, implementation, coordination, reporting, and/or evaluation of programs and projects which are federally or state funded.

The following cost functions are summarized under **3300 - COMMUNITY SERVICES**

**3300 Community/Parent Services** – Those activities concerned with providing community services to students, staff, and parents.

The following cost functions are summarized under **5000 OTHER EXPENDITURES AND FINANCING USES** previously called “Approved Indirect Cost”.

## Budget Revisions

An LEA may revise the approved budget of any program throughout the life of the program. A budget revision is necessary if the total expenditures of any function line item in the budget exceed the approved amount by 20 percent or more.

DFP encourages LEAs to wait until the funds are expended and do one final budget revision to reconcile the final expenditures to the approved budget prior to submitting the Final Expenditure Report.

Interim approval is needed for budget revisions involving the purchase of equipment costing \$1,500 or more, the approval may be requested in writing or via email, to the appropriate regional coordinator. The regional coordinator’s response may be kept on file as interim approval/disapproval and the final adjustments can be made to the budget at the end of the project.

## Indirect Costs

Indirect cost is an optional reimbursement for expenditures not otherwise included in the application budgets. The indirect cost is calculated using a formula from the total direct costs (including salaries, employee benefits, purchased services, and materials and supplies) and the LEA's approved restricted indirect cost rate. LEAs must apply for an indirect cost (IC) rate annually through their annual financial report (AFR). Approved IC rates are loaded into the eGrants system each year during funding adjustments, and eGrants calculates the maximum indirect cost for each program. When completing an original consolidated application, create an estimated budget with the previous year's IC rate.

Change to Indirect Costs based on the Uniform Grants Guidance. The salaries of administrative and clerical staff must be treated as indirect costs. Direct charging of these costs may be appropriate only if all of the following conditions are met:

- Administrative or clerical services are integral to a project or activity;
- Individuals involved can be specifically identified with the project or activity;
- Such costs are explicitly included in the budget or have the prior written approval of the federal awarding agency; and
- The costs are not also recovered as indirect costs. 2 C.F.R. § 200.413(c).

## Final Expenditure Report (FER)

An LEA with an approved application must submit an FER online only. The FER is accessed through the eGrants Management Menu. *The FER should be submitted within 30 days after funds are expended but no later than 30 days after the ending date of the project.* Reported expenditures in approved line item totals may not be more than 20 percent greater than the total amount budgeted within each of the approved programs. Expenditures in excess of the approved budget or of the allowable variations must be paid with local funds.

### **Due Dates for FERs**

2014-15 Federal Programs without Carryover – October 30, 2015 (or date funds are expended)

2014-15 Federal Programs with Approved Carryover – October 30, 2016 (or date funds are expended)

2015-16 Federal Programs without Carryover – October 30, 2016 (or date funds are expended)

2015-16 Federal Programs with Approved Carryover – October 30, 2017 (or date funds are expended)

## Quarterly Reports

LEAs are required to file Reconciliation of Cash on Hand Quarterly Reports for any program for which they are receiving monthly payments. The Quarterly Reports are due on the 10<sup>th</sup> working day of January, April, July, and October. LEAs should begin filing quarterly reports the first quarter after payments begin. Failure to submit quarterly reports will result in monthly program payments being suspended until the outstanding report is submitted. Quarterly reports are submitted through the Financial Accounting Information (FAI) system. Inquiries regarding payments or quarterly reports should be sent to [ra-faiecs@pa.gov](mailto:ra-faiecs@pa.gov).

The quarterly report tracks LEA expenditures and cash payments. An LEA may not have more cash on hand than obligations. The Federal Cash Management Act prohibits LEAs from drawing down more funds than what their obligations warrant.

## Carryover

The carryover amounts will be reflected on the project carryover screen of each program application. Funds not used and carried over into the next fiscal year are subject to these limitations:

- Title I.A – LEAs with a Title I.A allocation of \$50,000 or more may not carry over more than 15 percent of the funds allocated each year beyond September 30 of the following year. DFP may grant a waiver of this limitation once every three years if the LEA's request is reasonable and necessary. LEAs with an allocation of less than \$50,000 may carry over up to 100 percent of their allocation.
- There is no limit on carryover for the following programs: Titles I.D, II.A, and III.

## Payment Schedule

Funds will be electronically transferred via the FAI system to an LEA according to a monthly payment schedule based on the approved budget and grant agreement. The first payment will be transferred upon Comptroller's Office approval of the Consolidated LEA Application.

Payments are calculated based on the start date and termination date on the approved grant agreement.

The first payment may include additional months to account for the period of time the application and grant agreement were going through the approval process. (For example, if a grant agreement was submitted on July 1 and did not reach the Comptroller's Office to be set up for payment until September, the first monthly payment would include July, August, and September. The LEA would receive one month at a

time from October forward.)

## Accounting Requirements

**Separate and identifiable accounting records for receipts and expenditures in each program must be maintained.** The LEA may not commingle funds unless they are used in a schoolwide program. When funds are used in a schoolwide program, the LEA must develop a separate source code for reporting expenses for each of the programs.

All program funds must be reported within the program they were originally allocated, regardless if they were transferred into/out of a program for use somewhere else. (For example, if an LEA was allotted \$100,000 in Title II A, but transferred \$30,000 to another program, they still complete their Final Expenditure Reports (FER) and Quarterly Reports based on the \$100,000.)

## Inventory Control

A control system must be developed for adequate maintenance procedures to keep the equipment in good condition and to provide safeguards to prevent loss, damage or theft of the equipment. This directive also pertains to “computing devices” as explained below.

For each equipment and computing device purchased with federal funds, the following information is maintained:

- Serial number or other identification number;
- Source of funding for the property;
- Who holds title;
- Acquisition date and cost of the property;
- Percentage of federal participation in the project costs for the federal award under which the property was acquired;
- Location, use and condition of the property; and
- Any ultimate disposition data including the date of disposal and sale price of the property.

All equipment/capital outlay, regardless of cost, must be tracked and inventoried in order to provide adequate controls for districts to safeguard all equipment purchased with federal funds. This directive includes “computing devices” such as laptop computers, calculators, PDAs, digital cameras, scanners, and other items that are easily stolen.

UGG defines equipment as tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the district for financial statement purposes, or \$1,500.

**“Micro Purchases”** meet the physical definition of equipment, but cost less than \$3,000 per unit. An LEA must have procedures in place to track these items as they would equipment and also have a policy in place to ensure the security of these items.

Procedures for managing equipment must meet the following requirements:

1. Inventory must be current and available for review and audit. The following information must be included:
  - a. description of the property, including manufacturer’s model number, if any;
  - b. manufacturer’s serial number or other identification number;
  - c. identification of the funding source under which the property was acquired;
  - d. acquisition date and unit cost;
  - e. source of property (company name);
  - f. percentage of federal funds used in the purchase of the property;
  - g. present location, use, condition of the property, and date the information was reported; and
  - h. all pertinent information on the ultimate transfer, replacement, or disposition of the equipment.
2. Physical inventory must be conducted at least every two years
3. There must be a control system in place to prevent loss, damage, or theft
4. Adequate maintenance procedures must be implemented
5. If authorized or required to sell property, proper sales procedures must be maintained to ensure highest possible return
6. Items acquired using federal monies shall be physically marked by source of funding and acquisition date.

Equipment on loan to nonpublic schools or local institutions for neglected or delinquent children must be used for Title I or Title I.D participants only and must be clearly identified as Title I or Title I.D equipment belonging to the LEA or intermediate unit. The equipment must be included on the inventory records of the LEA.

### Disposition of Equipment (§C.F.R 200.313(e))

Equipment may be disposed of with no obligation to the federal government, if **ALL** of the following criteria are met:

- (1) Equipment is no longer needed in the current program
- (2) Equipment is not needed in other programs currently or previously funded by a federal agency
- (3) Equipment is an item has a current per-unit fair market value of less than

\$5,000

An LEA may purchase or lease equipment with NCLB funds if: 1) it is reasonable and necessary to operate its federal program effectively; 2) existing equipment will not be sufficient; and 3) the costs are reasonable.

Real property and equipment purchased with NCLB funds may be made available to other educational programs or projects, providing this use does not interfere with its use for the NCLB program or significantly shorten the equipment's useful life.

Records of transferred equipment must be retained for three years from date of transfer. The written notification to purge or transfer must include:

- item
- date of acquisition
- original cost
- reason for purge or transfer
- anticipated use

Generally, disposition of equipment is dependent on its fair market value (FMV) at the time of disposition. If the item has a current FMV of \$5,000 or less, it may be retained, sold, or otherwise disposed of with no further obligation to the federal awarding agency. If the item has a current FMV of more than \$5,000, the federal awarding agency is entitled to the federal share of the current market value or sales proceeds.

LEAs must request from DFP disposition instructions for capital outlay with an acquisition cost of **\$5,000 or more** per unit.

## Documentation Related to Payment of Staff

All federally-funded full time employees must be recorded on eGrants (Consolidated Staffing section). When monitored, the number of full time employees must be consistent with the approved application. LEAs must keep documentation, such as time and effort logs or classroom schedules, and a list of staff paid from multiple funding sources for all partial full time employees and for individuals receiving stipends.

## Single Funding Certification

Where employees are expected to work solely on a single federal program, charges for their salaries and wages will be supported by the completion of the Single Funding Certification Form. These certifications will be signed at least each semester by the employee or building principal. LEAs should keep these forms on file to certify that all staff fully funded with federal funds are conducting activities consistent with the purposes of the funding sources.

*Example of a Single Funding Certification Statement: “I hereby certify that for the period of January 1 through June 30, 2013, 100 percent of my time and effort was spent on Title I, Part A, activities.”*

In a schoolwide building where local, state, and federal funds are combined, all employees in that building are considered to be part of the schoolwide program and would need to complete the Single Funding Certification Form. The building principal could, however, meet this requirement by signing a payroll listing of all employees each semester.

## Requirements for Split-Funded Employees

Employees at least partially paid from federal sources and working in multiple cost objectives are to complete a Personnel Activity Report (PAR). The employee is required to sign the form, certifying that the time spent on federal grant programs and activities is proportionate. The form should be signed on a monthly basis, and should include appropriate supporting documentation, such as employee work schedules.

*Example of a Personnel Activity Report: “I hereby certify that for the period of July 1, 2015 through July 31, 2015, \_\_\_\_\_ percent of my time and effort was spent on Title I, Part A, activities.”*

In the event that an employee is not spending their time on the grant activities as required, the supervisor will work with the individual to ensure that the work effort is appropriate to the grant requirements and funding percentage, making necessary payroll reconciliations if needed per OMB A-87 guidelines.

## Sabbatical Leave Request for Title I Staff

Sabbatical leave requests for Title I staff are required in accordance with federal and state regulations. Sabbatical leave requests are authorized from Title I providing there is no reduction in size, scope and quality of Title I services.

Sabbatical Leave Request process:

1. The Division of Federal Programs must receive an official request (in writing, on official school district letterhead, from the school superintendent) for sabbatical leave. This request must include the teacher’s name and title and should be directed to a regional coordinator.
2. Attach a completed copy of the completed PDE 5305 (12/01) form (found on DFP’s website).
3. Once information is completed please mail to a regional coordinator for

processing.

4. Once approved, the LEA will receive an approval memo, the Sabbatical Leave Reimbursement Worksheet and a copy of the original letter from the superintendent. This will serve as evidence that your request has been granted.

## Maintenance of Effort (MOE)

Maintenance of Effort (MOE), as required by NCLB, demonstrates that a district is using federal funds to supplement, not supplant, initiatives at the district level. Please note: An assurance of this requirement is contained in the consolidated application.

A district may receive federal funds if DFP finds that the district's combined fiscal effort per student or its aggregate expenditures from state and local funds for free public education for the preceding year is not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding year.

**Compliance Reviewed:** Compliance is verified each spring by the DFP staff using specific data from the Annual Financial Report (AFR). LEAs will be notified of its MOE status in the fall of each year. This information is based on the prior year AFR data.

If an LEA is found to be out of compliance with MOE requirements, the following will occur:

The regional coordinator will contact the LEA directly to discuss its options, which include any of the following:

- Review and revise AFR
- Waiver Request\*

Failure to show compliance with the MOE requirements will result in a reduction in federal funds. DFP must reduce the amount of the allocations in the current LEA Consolidated Application in the exact proportion by which a district fails to meet the 90 percent maintenance requirement.

**\*Waiver:** The Secretary of the United States Department of Education may waive the requirements of this section if it is determined that the situation is due to exceptional or uncontrollable circumstances, such as a natural disaster, or a precipitous decline in the financial resources of the district.

## Fiscal and Compliance Audits

All LEAs must arrange for an independent audit of their records, at least annually, and provide a copy of the audit to the Bureau of Budget, PDE by October 31 following the audit period. Districts expending \$750,000 or more in federal funds in a year shall have a single or program-specific audit conducted for that year in accordance to OMB

Circular A-133.

## Transferability

Under NCLB, districts have additional flexibility by allowing the transfer of up to 100 percent of their Title IIA allocation into Title I.

When an LEA transfers funds from the Title IIA program to Title I, the transferred funds are used to support projects and activities consistent with the Title I program however, the expenditures continue to be tracked within Title IIA, the “home” project. Funds “transferred” are subject to the rules and requirements of the programs to which the funds are transferred.

A district must notify PDE of their intent to transfer funds prior to conducting any activities with the transferred funds. Funds transferred into Title I cannot be transferred back out.

Procedure for transferring funds (must be completed prior to using transferred funds for new activities):

- Enter the transferred amount in the Reservations of Funds page of your application
- Update Narrative to reflect the changes in program that will result from transferring the funds
- Track **activities** funded with transferred funds under the new program area where they were transferred TO (Title I)
- Track the **expenditure** of the transferred funds under the program the funds are transferred FROM (Title IIA)

For example: If a district wanted to transfer 50 percent of their Title II A allocation into Title I to support the purchase of supplies for the district, it would complete the Transferability Worksheet, update its narrative and then report the purchase of the supplies as a Title I activity and the expenditure of the funds under Title II A.

## HELPFUL RESOURCES

PAFPC website - <http://www.pafpc.org/>

New Coordinator training

PAFPC/ISP Conference

UGG templates

USDE - <http://www.ed.gov/>

eCFR - <http://www.ecfr.gov/>

Green Book - <http://www.gao.gov/greenbook/overview>

Fedmonitor – <https://www.federalmonitor.com>

Monitoring

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