

## **BOOST Presentation – April 28, 2012**

### **Looking Your Best For FPM For Local Education Agencies (LEAs) , CBOs, and/or City Government**

#### **Goals, Objectives and Outcomes for Training Package**

**Goal:** Participants will leave with the knowledge necessary to prepare for and have a successful FPM visit/online review

1. Participants will be able to state the 5W's and How of FPM
2. Participants will know how to load items into CAIS
3. Participants will be able to identify the steps necessary to prepare for an online review
4. Participants will be able to identify the steps necessary to prepare for a FPM site visit
5. Participants will leave with the knowledge as to how to conduct themselves during a FPM site visit

#### **Outcomes:**

1. Participants will be able to articulate the FPM process, preparation process and value it brings to the organization

## BOOST Presentation – April 28, 2012

**For Local Education Agencies (LEAs) , CBOs, and/or City Government**

### Pre-Evaluation: Looking Your Best For FPM

Training Date: \_\_\_\_\_ Training Site: \_\_\_\_\_

<b>Position: (select one):</b> <input type="radio"/> Grant Manager <input type="radio"/> Program Director <input type="radio"/> Site Coordinator <input type="radio"/> Front Line Staff	<b>Level(s)</b> <input type="radio"/> Elementary <input type="radio"/> Middle <input type="radio"/> High School <input type="radio"/> Other	<b>Level of Experience:</b> <input type="radio"/> 1-2 yrs <input type="radio"/> 3-4 yrs <input type="radio"/> 5 + years	<b>Employer, please list name:</b> <input type="radio"/> School District: _____ <input type="radio"/> Community Based Program : _____ <input type="radio"/> City/County: _____ <input type="radio"/> Other: _____
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1. I can state what FPM is  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
2. I can state the two methods that FPM can be conducted  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
3. I can why FPM is conducted  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
4. I can where FPM can take place  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
5. I can identify when FPM takes place  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
6. I know who participates in the FPM process  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
7. I know how to load documents into CAIS  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
8. I know the critical steps to prepare for an online FPM review  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
9. I know the critical steps to prepare for an onsite FPM review  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
10. I know how to conduct myself during a FPM review  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree

# Looking Your Best For FPM

Mary Jo Ginty  
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Region n After School Technical Assistance Lead  
April 28, 2012  
BOOST Conference  
In person training

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# Goal and Objectives for the day

- **Goal:** Participants will leave with the knowledge necessary to prepare for and have a successful FPM visit/on line review
- **Objectives:** Participants will learn:
  - The 5W's and How of FPM
  - How to prepare for a FPM visit
  - How to prepare for online review
  - How to load items in CAIS
  - How to conduct themselves during a FPM site visit
- **Outcome**  
Participant will be able to articulate the FPM process, preparation process and value it brings to the organization



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# AGENDA

- Welcome and introductions
- Burning FPM questions
- FPM Stories: share out from the field
- Presentation and Group Think Tank
- Question and Answer Period



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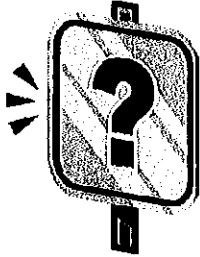
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## Burning FPM Questions



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## GLOSSARY



- BASP: Before and After School Programs
- CAIS: Ca Accountability and Improvement Systems
- FPM: Federal Program Monitoring
- LEA: Local Educational Agency
- NCLB: No Child Left Behind
- API: Academic Performance Index
- CST: California Standards Test
- PI: Program Improvement

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## FPM stories from the field

- Findings from the past
  - Collaboration
  - Appropriate grade levels
  - Early release policy
  - 85% of total grant for direct services
  - Instructional aide qualifications
  - Submission of materials that are not relevant
  - Materials not clearly marked



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**The 5Ws and How of FPM?**

- **WHY**
  - To verify programs are correctly implemented and all legal/fiscal requirements are met
  - Outcomes are met
- **WHEN**
  - Once every 4 years\* [different for online reviews and LAUSD]
- **WHERE**
  - District and non LEAs: including site visits to schools or virtually

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**The 5 W's and How of FPM cont.**

- **WHO**
  - LEA selection: PI status, API scores, number of categorical programs
  - Non LEA: pilot starting in 2011-12
  - A team of individuals from CDE FPM and ASPO offices: Regional Team Leader, Specialists
  - CAIS County Lead
  - LEA participants: Categorical Program Manager (district; aka LEA Review Coordinator), BASP Grant Manager, Program Director, Site Coordinator, Principal, front line staff, BASP students and parents, key community partners

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**The 5Ws and How of FPM cont...**

- **WHAT**
  - Annual compliance monitoring of 20 categorical programs: BASP is one
  - **COMPLIANCE with the law is focus, not program quality**
- **HOW**
  - Site visit and/or Online review

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### Value of FPM

- Providers legitimacy to the program
- Provides a process for grantees to conduct a self review of grant terms and conditions
- It is a checks and balance process




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### What is the overall picture?

- **BASP Outcomes from legislation**
  1. Create incentives for locally driven BASP that partner public schools and communities to provide academic and literacy support and safe constructive enrichment activities for students
  2. Assist students to meet state and local academic achievement standards in core academic subject and/or pass the CAHSEE
  3. Offer student enrichment activities to complement the instructional day academic program
  4. Provide opportunities to improve the literacy and educational development of families and students

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### How is the review conducted?

- **2011-12 Program Monitoring Tools**
  - Cycle B: onsite: interviews, observations and documents
  - Cycle D: online: documents
- Walk through and discussion of handouts
- **Tools from the past that have "died"**
  - Opset
  - Cross Program Monitoring Tool

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### What are they looking for?

1. Collaboration with schools: B
2. Involvement with private schools: B and D
3. Appropriate grades: B
4. Hours and days of week: B and D
5. Early release: B and D
6. Snack/meals: B



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### What are they looking for? Cont....

7. Physical Activity: B (ASSETs only)
8. Reporting and maintenance of records: B and D
9. Effective use of public records: B
10. Equipment and inventory: B and D
11. Administrative/program costs: B and D



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### What are they looking for? cont....

12. Budgets, audits, reports: B and D
13. In Kind: B and D
14. Supplement vs. supplant: B and D
15. Evaluation/effectiveness: B and D
16. Annual Evaluation: B and D
17. Staff Training: B

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### What are they looking for? Cont...

- 18. Student-staff ratio: B
- 19. Staff Qualifications: B
- 20. Safety and Access: B
- 21. Equal opportunity: B
- 22. Parent language: B and D
- 23. Program Design: B
- 24. Family Literacy: B



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### Preparing for Reviews



- Assemble a team, a set of your documents (hard copy) and review: see LACOE tips sheet
- Use of LACOE Region 11 After School FPM checklist
- Review of handout: "The Guidelines for ASPO before uploading to CAIS"

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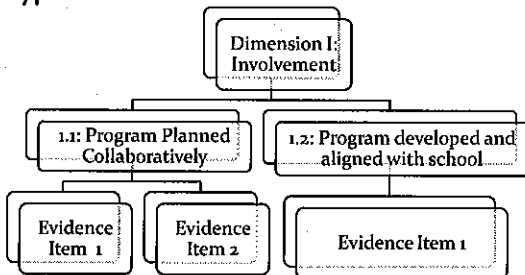
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### Preparing your documents for both types of FPM



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### Uploading Your Documents to CAIS

- Log in
- Users
- Invitation
- File cabinet: 30 calendar days
- Add a comment
- Uploading documents
- Submitting documents

\* See handout on CAIS and flyer on CAIS training

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### Preparing for Site Visit

- Prepare materials for staff to access and/or review that have been submitted via CASIS
- Coordinate with LEA staff who handles FPM for the district
- Have a "info" session with BASP staff, students, parents and administrators
- Hold a "prep" questions/interview session with Site Coordinators, front line staff, administrators and students who will be interviewed
- Schedule a "mock audit" with your Regional Lead

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### What Happens After Review?

- Notification of findings: orally (Cycle B); written Cycles B and D
- Proposed Resolution of Findings (PRF) form with submission
- Resolution of Findings
  - option A: done in 45 days
  - option B: Resolution Agreement Requests; 180 days
- Approval and/or denial of submissions
- Accepted status

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Question and Answer Session



A black and white illustration featuring a central male figure with a large thought bubble above his head. To his left is a smaller female figure, and to his right is a stack of papers or books. The entire illustration is contained within a rectangular frame.

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## CPM Online & CAIS FAQ

March 2010

### ***Who will have access to the system?***

At the California Department of Education, CPM staff as well as program specific staff (e.g., Title I, Title II, etc) will have access to the system. At LEA and site levels, LEAs will select Administrators who will manage access to CAIS for their LEA.

### ***What is different about an online system?***

An online system should help eliminate the "bins and boxes" that have been part of past monitoring. Documents will only need to be uploaded once and distributed electronically rather than distributing multiple hard copies of one document for many programs. The intent is that this process will allow CDE to review documents at desk level in Sacramento providing more focused time during site visits. It is also anticipated that clarity and consistency will be supported through this process.

### ***What advantage should there be to having CPM online?***

Uploaded documents will be available immediately for review to each Categorical Program staff. Feedback on the documents can be provided at once and this feedback becomes part of the ongoing monitoring discussion. Many documents that reside at CDE will become part of this system. (An example is the LEA Plan, which is requested by many program instruments.)

### ***What technology system will my computer need to access the online program?***

*This system is available using the Internet. Any computer that can access the web should be able to access the system. Although a password is needed, those who are responsible for this process can access their district information from any computer.*

### ***How will the CPM process change with the online system?***

The CPM Instruments will not be altered this year with this system. The content in the instruments will now be available online, but no changes will be made. However, additional information may be provided for clarification purposes. This might include automated reminders and messaging, links to the legal references for each item, and additional resource documents provided by CDE.

### ***Will CDE look at our documents before we are ready for CDE to see them?***

CDE staff will wait for indication by the LEA that the documents are available for review, either through a formal process of submitting documentation for an

instrument or by using electronic comments to request that a document or documents be reviewed prior to the formal submission.

***Will we have the opportunity to “fix” problems before the site visit?***

One of the advantages of this system is that some easy “fixes” can be identified by CDE and made by the LEA before the site visit occurs. It is anticipated that not all issues will be solved ahead of the visit, but early communication can prepare LEAs in advance of the site visit.

***What types of documents may be uploaded?***

You can upload any document that you use in your normal activities. These include Microsoft Word, PowerPoint or Excel documents, Adobe Acrobat or PDF documents, plain text file and image files such as .jpg or .gif files. There is no technical restriction on the type of file you upload but it is encouraged that you only provide documents that may typically be opened by the majority of computers. Files created in software not usually found on business computers may not be accessible to CDE reviewers.

***Are there some documents that we should not upload to the system?***

Any document containing student-identifying information may NOT be uploaded into the system. A district can create a “hard copy reference only” record in the online system that tells reviewers where this information is and that it will be available during the visit.

***What if we don’t have an electronic version of a document?***

There are two options. One is to indicate that the information is available, but not electronically and enter it as a hard copy reference. The second option is to create an electronic file by scanning if you have the capability to do so.

***How will we know if the document we upload is what CDE wants?***

The system will allow CDE to provide clear guidance for each requested document. This clarification might include a detailed description or examples of desired data, and will be available directly at the point you upload the document. You will also have the option to add your own descriptive text to the document during the upload.

***Will this online system help support LEA- level monitoring?***

LEAs will find that having the documents gathered into one program will help with their own monitoring systems. Additionally, an optional self-review tool is available to the LEA.

***Will there be training?***

Training will be provided for the online system in a variety of ways. LEAs will be notified of dates and times as this process progresses. Many of the trainings will be available on archived webinars on the CPM Online website.

***Will there be technical support?***

Technical support will be available throughout this process. The system is designed to lead you through the monitoring process and provide timely information along the way. It is anticipated that even “non-techie” users will be able to use the system with appropriate training.

MONITORING INSTRUMENT ITEM REPORT  
**Cycle B Program Instrument**  
**Before and After School Programs - Cycle B**

I. INVOLVEMENT

**I-BASP 01: BASP Involvement Collaboration With Schools**

SEA Status In Progress

Comments by SEA

Compliance Indicators I-BASP 1. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency actively collaborates, during both initial program development and ongoing program implementation, with the schools the students attend. (20 U.S.C. § 7174 (b) (2)(D); EC §§ 8482.5(b), 8422(b), 8483.3(c)(6), 8484.6(a).)

1.1. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency plans collaboratively with parents, youth, representatives of participating public schools (e.g., school site principals and staff), governmental agencies, such as city and county parks and recreation departments, local law enforcement, community organizations, and the private sector. (EC §§ 8482.5(b), 8422(b), 8483.3(c)(6).)

1. 2. (ASES, 21st CCLC, ASSETs) The program was developed and will be carried out in active collaboration with the schools the students attend and integrated with the regular school day and other extended learning opportunities. (EC § 8483.3(c)(5); 20 U.S.C. 7174 (b)(2)(D).)

1. 3. (ASES, 21st CCLC, ASSETs) Offsite programs align the educational and literacy/academic assistance element of the program with participating students' regular school programs. (EC § 8484.6(a).)

Associated Documents Grant application  
Single Plan for Student Achievement (SPSA)

Required and Suggested Documents  
 Documents BASP program plan  
 Collaborative partners' meeting agendas & minutes  
 Documentations regarding program collaboration  
 Flyers/brochures  
 Planning documents  
 Regular day/AS meeting agendas & minutes  
 Student surveys

Legal References

I. INVOLVEMENT

**I-BASP 02: BASP Involvement with Private Schools**

SEA Status In Progress

Comments by SEA

Compliance Indicators I-BASP 2. (21st CCLC, ASSETs) The LEA/grantee agency consulted with appropriate private school officials during the development of the program concerning:

- (a) Identification of students' needs. (20 U.S.C. §§ 6320 (b)(1)(A), 7881 (c)(1)(A).)
- (b) What services will be offered. (20 U.S.C. §§ 6320 (b)(1)(B), 7881 (c)(1)(B).)
- (c) Service delivery options, including services through a contract with a third-party provider. (20 U.S.C. §§ 6320 (b)(1)(C)(G), 7881(c)(1)(C).)
- (d) Assessment and improvement of services. (20 U.S.C. §§ 6320 (b)(1)(D), 7881 (c)(1)(D).)
- (e) The size and scope of services and the proportion of funds allocated. (20 U.S.C. §§ 6320 (b)(1)(E), 7881 (c) (1)(E).)

MONITORING INSTRUMENT ITEM REPORT

Cycle B Program Instrument

Before and After School Programs - Cycle B

	(f) Program delivery options (20 U.S.C. §§ 6320 (b)(3), 7881 (c)(4).) (g) Reasons for not using a contractor preferred by private school officials. (20 U.S.C. §§ 6320 (b)(1)(H), 7881 (c)(2).)
Associated Documents	Consolidated Application (ConApp) LEA Plan
Required and Suggested Documents	BASP program plan Dated notice to private schools of NCLB eligibility. LEA fiscal records Meeting agendas & minutes Records of private school affirmation
Legal References	

II. GOVERNANCE AND ADMINISTRATION  
**II-BASP 03: BASP Governance Serves Pupils in Appropriate Grade**

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	II-BASP 3. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency serves pupils in appropriate grade levels at participating schools. (20 U.S.C. § 7173 (a)(3)(A)(iii); EC §§ 8421(a), 8482.3(a), 8484.8(e)(1).)  3.1 (ASES) The LEA/grantee agency serves students in kindergarten and grades one through nine, inclusive, at participating public schools. (EC § 8482.3(a).)  3.2 (21st CCLC) The LEA/grantee agency serves students in elementary and middle-grades of eligible public and/or private schools. (20 U.S.C. § 7173 (a)(3)(A)(ii); EC § 8484.8(e)(1).)  3.3 (ASSETs) The LEA/grantee agency serves students in grades nine through twelve, inclusive, of eligible public and/or private schools. (20 U.S.C. § 7173 (a)(3)(A)(ii); EC § 8421(a).)
Associated Documents	Grant application Single Plan for Student Achievement (SPSA)
Required and Suggested Documents	BASP program plan
Legal References	

II. GOVERNANCE AND ADMINISTRATION  
**II-BASP 04: BASP Governance Operates its Program the Required**

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	II-BASP 4. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency operates its program the required number of hours per day and days per week on every regular school day. (EC §§ 8483, 8483.1(a)(1), 8483.2, 8421(c).)  4.1 (ASES, 21st CCLC) The after school program component commences immediately upon the conclusion of the regular school day and operates a minimum of 15 hours per week and at least until 6 p.m. on every regular school day. (EC § 8483)

**MONITORING INSTRUMENT ITEM REPORT**  
**Cycle B Program Instrument**  
**Before and After School Programs - Cycle B**

4.2 (ASES, 21st CCLC) Before school programs operate for no less than one and one-half hours each regular school day. (EC § 8483.1(a)(1).)

4.3 (ASES, 21st CCLC) The LEA/grantee agency that operates both a before and after school program during summer, intersession, or vacation periods operates these programs a minimum of four and one-half hours per day. (EC § 8483.2)

4.4 (ASSETs) The LEA/grantee agency operates a minimum of 15 hours per week, which may include after school and any combination of before school, weekends, summer, intersession, and vacation. (EC § 8421(c), 8422(d) (1),(2).)

Associated Documents    Web based information

Required and Suggested Documents    Annual Performance Review  
 BASP program plan  
 Evaluation reports  
 Program brochures and schedules

Legal References

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 05: BASP Governance Release of Pupils in After School**

SEA Status                    In Progress

Comments by SEA

Compliance Indicators    II-BASP 5. (ASES, 21st CCLC) The LEA/grantee agency has established policies for reasonable early release of pupils in the after school program and reasonable late daily arrival of pupils in the before school program. (EC § 8483(a)(1), 8483.1(a)(1).)

Associated Documents    Web based information

Required and Suggested Documents    Attendance reports  
 Operation policies and documents  
 Program brochures and schedules  
 Roll sign-in/out sheets

Legal References

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 06: BASP Governance Daily Nutritious Snack or Meal**

SEA Status                    In Progress

Comments by SEA

Compliance Indicators    II-BASP 6. (ASES, 21st CCLC, ASSETs) The program provides a daily nutritious snack/meal for attending students. (EC § 8423(c)(3), 8483.3(c)(8), 8483.1(c).)

6.1 (ASES, 21st CCLC, ASSETs) The nutritious snack conforms to the nutrition standards in Article 2.5 of Chapter 9 of Part 27. (EC § 8482.3(d).)



MONITORING INSTRUMENT ITEM REPORT

Cycle B Program Instrument

Before and After School Programs - Cycle B

6.2 (ASES, 21st CCLC) The before school program offers a breakfast meal for attending students as described by Section 49553. (EC § 8483.1(c).)

Associated Documents

Required and Suggested Documents  
BASP program plan  
Menus  
Nutrition facts label

Legal References

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 07: BASP Governance Physical Activity Element**

SEA Status In Progress

Comments by SEA

Compliance Indicators II-BASP 7. (ASSETs) The program includes a physical activity element. (EC § 8423(c)(3).)

Associated Documents Grant application

Required and Suggested Documents  
BASP program plan  
Curriculum materials  
Lesson plans and activities  
Program brochures and schedules

Legal References

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 08: BASP Governance Submits Data and Maintains Records**

SEA Status In Progress

Comments by SEA

Compliance Indicators II-BASP 8. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits data and reports and maintains records as required. (EC §§ 8482.3(f)(5), 8482.3(f)(10)(A)-(C), 8484.8(b)(3).)

8.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency reviews its after school program plan every three years including, but not limited to, program goals, program content, outcome measures, and other information requested by CDE. (EC § 8482.3(g)(1).)

8.2 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency maintains documentation of the after school program plan for a minimum of five years. (EC § 8482.3(g)(1)(F).)

8.3 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits program attendance data semiannually and regular school day attendance data annually. (EC §§ 8482.3(f)(10)(A)-(C), 8483.55(c)(4), 8484.8(e)(5), 8426(d).)

Associated Documents

MONITORING INSTRUMENT ITEM REPORT

Cycle B Program Instrument

Before and After School Programs - Cycle B

Web based information

Required and Suggested Documents

- BASP program plan
- Operation policies and documents
- Program brochures and schedules
- Roll sign-in/out sheets

Legal References

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 09: BASP Governance Effective Use of Public Resources**

SEA Status In Progress

Comments by SEA

Compliance Indicators II-BASP 9. (21st CCLC, ASSETS) The LEA/grantee agency coordinates with other federal, state, and local programs to make the most effective use of public resources. (20 U.S.C. § 7174 (b)(2)(c); EC §§ 8421(f)(5), 8484.8(e)(4).)

Associated Documents

- Single Plan for Student Achievement (SPSA)
- Web based information

Required and Suggested Documents

- BASP program plan
- Operation policies and documents
- Program brochures and schedules
- Staff pay records (hrs/wk)

Legal References

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 10: BASP Governance Inventory for Equipment**

SEA Status In Progress

Comments by SEA

Compliance Indicators II-BASP 10. (ASES, 21st CCLC, ASSETS) The LEA/grantee agency maintains an inventory record for each piece of equipment, with an acquisition cost of \$500 or more per unit, that is purchased with state and/or federal funds. The record describes the acquisition by:

- (a) Type
- (b) Model
- (c) Serial number
- (d) Funding source
- (e) Acquisition date
- (f) Cost
- (g) Location
- (h) Current condition
- (i) Transfer, replacement, or disposition of obsolete or unusable equipment (EC § 35168; 5 CCR 3946; 34 CFR 80.32(d)(1).)

**MONITORING INSTRUMENT ITEM REPORT**  
**Cycle B Program Instrument**  
**Before and After School Programs - Cycle B**

10.1 The school district has conducted a physical check of the inventory of equipment within the past two years and has reconciled the result with inventory records. (34 CFR 80.32(d)(2).)

Associated Documents DOCUMENT: Evidence of physical check of inventory

Required and Suggested Documents Inventory records

Legal References

**III. FUNDING**

**III-BASP 11: BASP Funding Direct Services to Pupils**

Updated 05/11/2011 by Administrator/Administrator

SEA Status In Progress

Comments by SEA

Compliance Indicators III-BASP 11. (ASES, 21st CCLC) The LEA/grantee agency allocates no less than 85 percent of total grant amount to school sites for direct services to pupils. (EC § 8483.9(c).)

11.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency spends no more than 15 percent of the amount of the grant for administrative costs, which includes any indirect costs. (EC §§ 8483.9(b), 8484.8(e)(3)(B).)

11.2 (ASSETs) The LEA/grantee agency spends no more than the greater of 6 percent of the grant amount or seven thousand five hundred dollars (\$7,500) to collect outcome data for evaluation and for reports as required by the CDE. (EC § 8426(g)(2).)

Associated Documents Expenditure Reports

Required and Suggested Documents  
 Contracts  
 Line Item Budgets  
 Position duty statements  
 Time sheets, including time accounting methods

Legal References

**III. FUNDING**

**III-BASP 12: BASP Funding Fiscal and Auditing Standards**

Updated 03/01/2011 by Administrator/Administrator

SEA Status In Progress

Comments by SEA

Compliance Indicators III-BASP 12. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency follows all fiscal and auditing standards required by the CDE. (EC §§ 8482.3(f)(5), 8484.8(b)(3),(4).)

12.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits annual budget reports and quarterly expenditure reports. (EC §§ 8482.3(f)(5), 8484.8(b)(3),(4).)

12.2 (21st CCLC, ASSETs) The LEA/grantee agency conducts an annual fiscal audit. (EC § 8484.8(b)(3).)

Associated Documents Expenditure Reports  
 Fiscal and/or state audits

Required and Suggested Documents  
 Contracts  
 Line Item Budgets

MONITORING INSTRUMENT ITEM REPORT  
**Cycle B Program Instrument**  
**Before and After School Programs - Cycle B**

Time sheets, including time accounting methods

Legal References

III. FUNDING  
**III-BASP 13: BASP Funding Local Contribution of Cash or In-Kind**

SEA Status In Progress

Comments by SEA

Compliance Indicators **III-BASP 13. (ASES)** The LEA/grantee agency operating an ASES program has obtained a local contribution of cash or in-kind local funds equal to not less than one-third of the total grant amount. Facilities or space usage may fulfill not more than 25 percent of the required local match. (EC § 8483.7(a)(5); 8483.75(a)(4).)

Associated Documents Expenditure Reports

Required and Suggested Documents  
 Contracts  
 Line Item Budgets  
 Memorandum of Understanding (MOU)  
 Time sheets, including time accounting methods

Legal References

III. FUNDING  
**III-BASP 14: BASP Funding Supplement Local Funds**

SEA Status In Progress

Comments by SEA

Compliance Indicators **III-BASP 14. (ASES, 21st CCLC, ASSETs)** The LEA/grantee agency uses categorical funds only to supplement, and not supplant, state and local funds. (EC § 8483.5(e); 20 U.S.C. § 7174 (b)(2)(G).)

Associated Documents Single Plan for Student Achievement (SPSA)

Required and Suggested Documents  
 BASP program plan  
 Equipment inventory/placement/use  
 LEA fiscal records  
 Position duty statements

Legal References

MONITORING INSTRUMENT ITEM REPORT  
**Cycle B Program Instrument**  
**Before and After School Programs - Cycle B**

IV. STANDARDS, ASSESSMENT, AND ACCOUNTABILITY

**IV-BASP 15: BASP Accountability Meets Evaluation Requirements**

Updated 08/07/2011 by Administrative Accountability

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	<p>IV-BASP 15. (21st CCLC, ASSETs) The program developed by the LEA/grantee agency meets evaluation requirements and principles of effectiveness:</p> <p>(a) Program is based upon an assessment of objective data regarding the need for before and after school programs (including during summer recess periods) and activities in schools and communities;            (b) Program is based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment activities;            (c) Program is based upon scientifically based research that will help the students meet state and local academic achievement standards (if appropriate);            (d) Program undergoes a periodic evaluation to assess progress toward providing high-quality opportunities for academic enrichment;            (e) The results of evaluations are used to refine and improve the program and its performance measures; and            (f) The results of evaluations are made available to the public upon request with public notice of such availability provided.            (20 U.S.C. § 7175 (b)(1)-(2).)</p>
Associated Documents	<p>Attendance and truancy reports            CA Healthy Kids Survey            Grant application            School accountability report card</p>
Required and Suggested Documents	<p>BASP program plan            Collaborative partners' meeting agendas &amp; minutes            Curriculum materials            Documentation of how evaluation results were used to refine, improve, and strengthen the program            Evaluation Plan            Evaluation report            Lesson plans and activities            Notice of public availability of evaluation results            Program brochures and schedules            Reports to board</p>
Legal References	

IV. STANDARDS, ASSESSMENT, AND ACCOUNTABILITY

**IV-BASP 16: BASP Accountability Annual Evaluation Data**

Updated 08/04/2011 by Administrative Accountability

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	<p>IV-BASP 16. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits required annual outcome-based data for evaluation. (EC §§ 8484, 8427(a).)</p>
Associated Documents	<p>Attendance and truancy reports            Notice of public availability of evaluation results</p>
Required and Suggested	<p>BASP program plan performance indicators</p>

MONITORING INSTRUMENT ITEM REPORT  
**Cycle B Program Instrument**  
**Before and After School Programs - Cycle B**

**Documents** Documentation of how evaluation results were used to refine, improve, and strengthen the program  
 Evaluation Plan  
 Evaluation report  
 Reports to board

**Legal References**

V. STAFFING AND PROFESSIONAL DEVELOPMENT  
**V-BASP 17: BASP Accountability Provides Staff Training**

**SEA Status** In Progress

**Comments by SEA**

**Compliance Indicators** V-BASP 17. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides staff training and development. (EC § 8483.3(c)(4).)

**Associated Documents**

**Required and Suggested Documents** Personnel records  
 Professional development/training materials  
 Training schedule  
 Training sign-in sheets

**Legal References**

V. STAFFING AND PROFESSIONAL DEVELOPMENT  
**V-BASP 18: BASP Accountability Student-To-Staff Ratio**

**SEA Status** In Progress

**Comments by SEA**

**Compliance Indicators** V-BASP 18. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency ensures that programs maintain a student-to-staff ratio of no more than 20 to 1. (EC § 8483.4.)

**Associated Documents**

**Required and Suggested Documents** Attendance records  
 BASP program plan  
 Personnel records

**Legal References**

MONITORING INSTRUMENT ITEM REPORT  
**Cycle B Program Instrument**  
**Before and After School Programs - Cycle B**

V. STAFFING AND PROFESSIONAL DEVELOPMENT

**V-BASP 19: BASP Accountability Staff Minimum Qualifications**

Report generated by CAIS on 09/08/2011 10:59 AM

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	V-BASP 19. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency ensures that all staff members who directly supervise pupils meet the minimum qualifications for an instructional aide according to the policies of the school district. (EC § 8483.4.)
Associated Documents	Recruitment and training documents
Required and Suggested Documents	District policy Personnel records
Legal References	

V. STAFFING AND PROFESSIONAL DEVELOPMENT

**VI-BASP 20: BASP Educational Safe Access to Facilities**

Report generated by CAIS on 09/08/2011 10:59 AM

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	VI-BASP 20. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides services in a safe and easily accessible facility that ensures students travel safely to and from the program site and home. (20 U.S.C. § 7174(2)(A); EC § 8484.6(a).)  20.1 (21st CCLC, ASSETs) If the program is located in a facility other than an elementary or secondary school, the LEA/grantee agency has ensured that the program will be at least as accessible to the students to be served as if the program were located in an elementary or secondary school. (20 U.S.C. § 7174 (c).)  20.2 (ASES, 21st CCLC, ASSETs) If an LEA/grantee agency locates a program off school grounds, safe transportation is provided to the pupils enrolled in the program. (EC § 8484.6(a).)
Associated Documents	District policy
Required and Suggested Documents	BASP program plan Collaborative partners' meeting agendas & minutes Local maps with student travel routes Parent notification materials School Safety Plan
Legal References	

MONITORING INSTRUMENT ITEM REPORT  
**Cycle B Program Instrument**  
**Before and After School Programs - Cycle B**

VI. OPPORTUNITY AND EQUAL EDUCATIONAL ACCESS

**VI-BASP 21: BASP Equal Opportunity**

Available for review by Administrator, Administrator

SEA Status In Progress

Comments by SEA

Compliance Indicators VI- BASP 21. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency makes services equally accessible to all students and families of students targeted for services regardless of their ability to pay. (EC § 8482.6.)  
 21.1 (21st CCLC, ASSETs) If the LEA/agency does charge fees, it uses a sliding scale of fees and scholarships for those who cannot afford to participate. (20 U.S.C. § 7174 (d)(2).)

Associated Documents District policy

Required and Suggested Documents BASP program plan  
 Fee schedule  
 Letters, newsletters, handbooks, e-mails or other materials  
 Outreach documents  
 Parent notification materials

Legal References

VI. OPPORTUNITY AND EQUAL EDUCATIONAL ACCESS

**VI-BASP 22: BASP Accountability Parent Language**

Available for review by Administrator, Administrator

SEA Status In Progress

Comments by SEA

Compliance Indicators VI-BASP 22. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides parents with information on school and parent activities in a format and, to the extent practicable, in a language the parents can understand. (20 U.S.C. § 6318 (e)(5).)  
 22.1 When 15 percent or more of students enrolled in a public school speak a single primary language other than English, as determined by language census data from the preceding year, all notices, reports, statements, and records sent to parents of such students are written in English and the primary language. (EC § 48985.)

Associated Documents Community language profiles

Required and Suggested Documents Parent communiques

Legal References

VII. TEACHING AND LEARNING

**VII-BASP 23: BASP Teaching Provides Opportunities**

Available for review by Administrator, Administrator



MONITORING INSTRUMENT ITEM REPORT

Cycle B Program Instrument

Before and After School Programs - Cycle B

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	VII-BASP 23. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides opportunities for:  (a) Academic enrichment to help students to meet state and local academic standards in core academic subjects such as reading and mathematics. (b) Educational enrichment services, programs, and activities that are designed to reinforce and complement the regular academic program of participating students. (EC § 8482.3(c)(2); 20 U.S.C. § 7171 (a)(1),(2).)
Associated Documents	Academic achievement documents (eg, California Standards Test (CST))
Required and Suggested Documents	Curriculum materials Lesson plans and activities Outreach documents Program brochures and schedules Test scores
Legal References	

VII. TEACHING AND LEARNING

**VII-BASP 24: BASP Teaching Provides Literacy Related Education**

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	VII-BASP 24. (21st CCLC, ASSETs) The LEA/grantee agency provides literacy and related educational development for families of students served. (20 U.S.C. § 7171 (a)(3).)
Associated Documents	Grant application Training materials
Required and Suggested Documents	Brochures/course offerings Curriculum materials Lesson plans and activities Program descriptions and schedules
Legal References	

MONITORING INSTRUMENT ITEM REPORT  
**Cycle D Program Instrument**  
**Before and After School Programs - Cycle D**

I. INVOLVEMENT

**I-BASP 02: BASP Involvement with Private Schools**

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	<p>I-BASP 2. (21st CCLC, ASSETs) The LEA/grantee agency consulted with appropriate private school officials during the development of the program concerning:</p> <p>(a) Identification of students' needs. (20 U.S.C. §§ 6320 (b)(1)(A), 7881 (c)(1)(A).)            (b) What services will be offered. (20 U.S.C. §§ 6320 (b)(1)(B), 7881 (c)(1)(B).)            (c) Service delivery options, including services through a contract with a third-party provider. (20 U.S.C. §§ 6320 (b)(1)(C)(G), 7881(c)(1)(C).)            (d) Assessment and improvement of services. (20 U.S.C. §§ 6320 (b)(1)(D), 7881 (c)(1)(D).)            (e) The size and scope of services and the proportion of funds allocated. (20 U.S.C. §§ 6320 (b)(1)(E), 7881 (c)(1)(E).)            (f) Program delivery options (20 U.S.C. §§ 6320 (b)(3), 7881 (c)(4).)            (g) Reasons for not using a contractor preferred by private school officials. (20 U.S.C. §§ 6320 (b)(1)(H), 7881 (c)(2).)</p>
Associated Documents	<p>Consolidated Application (ConApp)            LEA fiscal records            LEA Plan</p>
Required and Suggested Documents	<p>BASP program plan            Dated notice to private schools of NCLB eligibility            Meeting agendas &amp; minutes            Records of private school affirmation</p>
Legal References	Refer to the instrument item

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 04: BASP Governance Operates its Program the Required**

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	<p>II-BASP 4. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency operates its program the required number of hours per day and days per week on every regular school day. (EC §§ 8483, 8483.1(a)(1), 8483.2, 8421(c).)</p> <p>4.1 (ASES, 21st CCLC) The after school program component commences immediately upon the conclusion of the regular school day and operates a minimum of 15 hours per week and at least until 6 p.m. on every regular school day. (EC § 8483)</p> <p>4.2 (ASES, 21st CCLC) Before school programs operate for no less than one and one-half hours each regular school day. (EC § 8483.1(a)(1).)</p> <p>4.3 (ASES, 21st CCLC) The LEA/grantee agency that operates both a before and after school program during summer, intersession, or vacation periods operates these programs a minimum of four and one-half hours per day. (EC § 8483.2)</p>

MONITORING INSTRUMENT ITEM REPORT

Cycle D Program Instrument

Before and After School Programs - Cycle D

4.4 (ASSETs) The LEA/grantee agency operates a minimum of 15 hours per week, which may include after school and any combination of before school, weekends, summer, intersession, and vacation. (EC § 8421(c), 8422(d) (1),(2).)

Associated Documents Web based information

Required and Suggested Documents Annual performance review  
BASP program plan  
Evaluation reports  
Program brochures and schedules

Legal References

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 05: BASP Governance Release of Pupils in After School**

Updated 09/29/2011 by Administration

SEA Status In Progress

Comments by SEA

Compliance Indicators II-BASP 5. (ASES, 21st CCLC) The LEA/grantee agency has established policies for reasonable early release of pupils in the after school program and reasonable late daily arrival of pupils in the before school program. (EC § 8483(a)(1), 8483.1(a)(1).)

Associated Documents Web based information

Required and Suggested Documents Attendance reports  
Operation Policies and Documents  
Program brochures and schedules  
Roll sign-in/out sheets

Legal References

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 08: BASP Governance Submits Data and Maintains Records**

Updated 09/29/2011 by Administration

SEA Status In Progress

Comments by SEA

Compliance Indicators II-BASP 8. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits data and reports and maintains records as required. (EC §§ 8482.3(f)(5), 8482.3(f)(10)(A)-(C), 8484.8(b)(3).)  
8.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency reviews its after school program plan every three years including, but not limited to, program goals, program content, outcome measures, and other information requested by CDE. (EC § 8482.3(g)(1).)  
8.2 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency maintains documentation of the after school program plan for a minimum of five years. (EC § 8482.3(g)(1)(F).)  
8.3 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits program attendance data semiannually and regular school day attendance data annually. (EC §§ 8482.3(f)(10)(A)-(C), 8483.55(c)(4), 8484.8(e)(5), 8426(d).)

Associated Documents Web based information

Required and Suggested Documents BASP program plan

MONITORING INSTRUMENT ITEM REPORT  
Cycle D Program Instrument  
Before and After School Programs - Cycle D

Documents  
Operation policies and documents  
Program brochures and schedules  
Roll sign-in/out sheets

Legal References

II. GOVERNANCE AND ADMINISTRATION

**II-BASP 10: BASP Governance Inventory for Equipment**

SEA Status In Progress

Comments by SEA

Compliance Indicators II-BASP 10. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency maintains an inventory record for each piece of equipment, with an acquisition cost of \$500 or more per unit, that is purchased with state and/or federal funds. The record describes the acquisition by:

- (a) Type
  - (b) Model
  - (c) Serial number
  - (d) Funding source
  - (e) Acquisition date
  - (f) Cost
  - (g) Location
  - (h) Current condition
  - (i) Transfer, replacement, or disposition of obsolete or unusable equipment
- (EC § 35168; 5 CCR 3946; 34 CFR 80.32(d)(1).)

10.1 The school district has conducted a physical check of the inventory of equipment within the past two years and has reconciled the result with inventory records. (34 CFR 80.32(d)(2).)

Associated Documents

Required and Suggested Documents  
Evidence of physical check of inventory  
Inventory records

Legal References

III. FUNDING

**III-BASP 11: BASP Funding Direct Services to Pupils**

MONITORING INSTRUMENT ITEM REPORT  
**Cycle D Program Instrument**  
**Before and After School Programs - Cycle D**

SEA Status In Progress

Comments by SEA

Compliance Indicators III-BASP 11. (ASES, 21st CCLC) The LEA/grantee agency allocates no less than 85 percent of total grant amount to school sites for direct services to pupils. (EC § 8483.9(c).)

11.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency spends no more than 15 percent of the amount of the grant for administrative costs, which includes any indirect costs. (EC §§ 8483.9(b), 8484.8(e)(3)(B).)

11.2 (ASSETs) The LEA/grantee agency spends no more than the greater of 6 percent of the grant amount or seven thousand five hundred dollars (\$7,500) to collect outcome data for evaluation and for reports as required by the CDE. (EC § 8426(g)(2).)

Associated Documents Expenditure reports

Required and Suggested Documents  
 Contracts  
 Line Item Budgets  
 Position Duty Statements  
 Time sheets, including time accounting

Legal References

III. FUNDING

**III-BASP 12: BASP Funding Fiscal and Auditing Standards**

SEA Status In Progress

Comments by SEA

Compliance Indicators III-BASP 12. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency follows all fiscal and auditing standards required by the CDE. (EC §§ 8482.3(f)(5), 8484.8(b)(3),(4).)

12.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits annual budget reports and quarterly expenditure reports. (EC §§ 8482.3(f)(5), 8484.8(b)(3),(4).)

12.2 (21st CCLC, ASSETs) The LEA/grantee agency conducts an annual fiscal audit. (EC § 8484.8(b)(3).)

Associated Documents Expenditure reports  
 Fiscal and/or state audits

Required and Suggested Documents  
 Contracts  
 Line Item Budgets  
 Time sheets, including time accounting

Legal References

III. FUNDING

**III-BASP 13: BASP Funding Local Contribution of Cash or In-Kind**

**MONITORING INSTRUMENT ITEM REPORT**  
**Cycle D Program Instrument**  
**Before and After School Programs - Cycle D**

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	III-BASP 13. (ASES) The LEA/grantee agency operating an ASES program has obtained a local contribution of cash or in-kind local funds equal to not less than one-third of the total grant amount. Facilities or space usage may fulfill not more than 25 percent of the required local match.  (EC § 8483.7(a)(5); 8483.75(a)(4).)
Associated Documents	Expenditure reports
Required and Suggested Documents	Contracts Line Item Budgets Memorandum of Understanding (MOU) Time sheets, including time accounting
Legal References	

III. FUNDING  
**III-BASP 14: BASP Funding Supplement Local Funds**

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	III-BASP 14. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency uses categorical funds only to supplement, and not supplant, state and local funds.  (EC § 8483.5(e); 20 U.S.C. § 7174 (b)(2)(G).)
Associated Documents	LEA fiscal records Single Plan for Student Achievement (SPSA)
Required and Suggested Documents	BASP program plan Equipment inventory/placements/use Position Duty Statements
Legal References	

IV. STANDARDS, ASSESSMENT, AND ACCOUNTABILITY  
**IV-BASP 15: BASP Accountability Meets Evaluation Requirements**

SEA Status	In Progress
Comments by SEA	
Compliance Indicators	IV-BASP 15. (21st CCLC, ASSETs) The program developed by the LEA/grantee agency meets evaluation requirements and principles of effectiveness:

(a) Program is based upon an assessment of objective data regarding the need for before and after school

**MONITORING INSTRUMENT ITEM REPORT**  
**Cycle D Program Instrument**  
**Before and After School Programs - Cycle D**

- programs (including during summer recess periods) and activities in schools and communities;
- (b) Program is based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment activities;
- (c) Program is based upon scientifically based research that will help the students meet state and local academic achievement standards (if appropriate);
- (d) Program undergoes a periodic evaluation to assess progress toward providing high-quality opportunities for academic enrichment;
- (e) The results of evaluations are used to refine and improve the program and its performance measures; and
- (f) The results of evaluations are made available to the public upon request with public notice of such availability provided.

(20 U.S.C. § 7175 (b)(1)-(2).)

**Associated Documents**

Attendance and truancy reports  
 CA Healthy Kids Survey  
 Grant application  
 Reports to Board  
 School Accountability Report Card (SARC)

**Required and Suggested Documents**

BASP program plan  
 Collaborative partners' meeting agendas and minutes  
 Curriculum materials  
 Documentation of how evaluation results were used to refine, improve, and strengthen the program  
 Evaluation Plan  
 Evaluation report  
 Lesson plans and activities  
 Notice of public availability of evaluation results  
 Program brochures and schedules

**Legal References**

**IV. STANDARDS, ASSESSMENT, AND ACCOUNTABILITY**

**IV-BASP 16: BASP Accountability Annual Evaluation Data**

Approved by SEA on 12/20/11. Reauthorized Administration

**SEA Status** In Progress

**Comments by SEA**

**Compliance Indicators** IV-BASP 16. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits required annual outcome-based data for evaluation. (EC §§ 8484, 8427(a).)

**Associated Documents** Attendance and truancy reports  
 Notice of public availability of evaluation results  
 Reports to Board

**Required and Suggested Documents** BASP program plan performance indicators  
 Documentation of how evaluation results were used to refine, improve, and strengthen the program  
 Evaluation Plan  
 Evaluation report

**Legal References**

MONITORING INSTRUMENT ITEM REPORT  
Cycle D Program Instrument  
Before and After School Programs - Cycle D

VI. OPPORTUNITY AND EQUAL EDUCATIONAL ACCESS

**VI-BASP 22: BASP Accountability Parent Language**

Updated 09/29/2011 by Administrator, CAIS, 11/11/11

SEA Status In Progress

Comments by SEA

Compliance Indicators VI-BASP 22. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides parents with information on school and parent activities in a format and, to the extent practicable, in a language the parents can understand. (20 U.S.C. § 6318 (e)(5).)

22.1 When 15 percent or more of students enrolled in a public school speak a single primary language other than English, as determined by language census data from the preceding year, all notices, reports, statements, and records sent to parents of such students are written in English and the primary language. (EC § 48985.)

Associated Documents Community language profiles

Required and Suggested Documents Parent Communiques

Legal References





**2011–2012  
Federal Program Monitoring**

**California Accountability and  
Improvement System**

**Ramiro Nava, Education Programs Consultant  
Stacy Savoca, Associate Governmental Program Analyst  
Federal Program Monitoring Office**

**September 12–19, 2011**

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



**TOM TORLAKSON**  
State Superintendent  
of Public Instruction

## Training Objectives

- Use the California Accountability and Improvement System (CAIS) in the FPM review process.
- Use CAIS in the FPM resolution process.
- Use the Proposed Resolution of Findings instructions and form.




**TOM TORLAKSON**  
State Superintendent  
of Public Instruction

# CAIS Log In

CAIS temporary location through the World Wide Web.

<http://64.147.175.16/tracker:>



**California Accountability & Improvement System**

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**Log on**

Enter your e-mail address and password, then select the Log on button to enter the system.  
Fields marked with an asterisk (\*) are required.

Email Address\*:

Password\*:

If you have trouble using CAIS, please contact the CAIS Support Office at [caishelp@cde.ca.gov](mailto:caishelp@cde.ca.gov).

[Forgot Your Password?](#)

**First-time User? Access the Mailer**

For technical help using CAIS, contact [caishelp@cde.ca.gov](mailto:caishelp@cde.ca.gov) ← 2

For monitoring related questions, contact:

ARRA: [P\\_acob@cde.ca.gov](mailto:P_acob@cde.ca.gov)

EPIF: [SSavara@cde.ca.gov](mailto:SSavara@cde.ca.gov)

Migrant Agreements: [JUDK1400@cde.ca.gov](mailto:JUDK1400@cde.ca.gov) ← 3

NPSA: [npsa@cde.ca.gov](mailto:npsa@cde.ca.gov)

S-C Reporting: [RCortez@cde.ca.gov](mailto:RCortez@cde.ca.gov)

For plan content related questions, contact:

IEA Plans: [JAMorris@cde.ca.gov](mailto:JAMorris@cde.ca.gov)

Title II/EL: [JEHelds@cde.ca.gov](mailto:JEHelds@cde.ca.gov)

Title I School Plans: [P\\_acob@cde.ca.gov](mailto:P_acob@cde.ca.gov)

3



**TOM TORLAKSON**  
State Superintendent  
of Public Instruction

## CAIS Users

- Each user accessing the system must have an individual user account.
- The administrative user who created your account invitation determines the access level for your CAIS account.
- There are three types of LEA users:
  - Admin users create and manage users for the LEA and assign the District Submitters.
  - District users upload documents to program instrument items.
  - School users upload documents to program instrument items associated with their school only. Documents uploaded by school level users will be automatically set to Draft.



**TOM TORLAKSON**  
State Superintendent  
of Public Instruction

# Adding Users

Users with administrative rights.

**California Accountability & Improvement System** LCOSM Help Support & Assistance

**Manage Users** 3 → Add User

**Users** ← 2 Levels:  Organizations:   User Role:  Unassigned Users  Admin Only  Read Only Users

User Name:

5



**TOM TORLAKSON**  
State Superintendent  
of Public Instruction

# Adding Users

## Invite a new User \*

**Create Account**

Add Organizations

Assign Monitoring Roles

Assign Plan Roles

District users must be associated with at least one district. District administrators may add district & school users, and assign submitters. \*

Access Level \*

CDE

LEA

School

Administrator

Read-Only?

First Name \*

Last Name \*

Email \*

Phone

Position

Department

Create Account



**TOM TORLAKSON**  
State Superintendent  
of Public Instruction

# Adding Users

**Invite a new User \***

**Create Account**   Add Organizations   Assign Monitoring Rules   Assign Plan Roles

District users must be associated with at least one district. District administrators may add district & school users, and assign submitters. \*

Access Level \*

CDF

LEA

School

Administrator

Read-Only?

First Name \*    Last Name \*    Email \*

Phone

Position

Department



1



2



**TOM TORLAKSON**  
State Superintendent  
of Public Instruction

# CAIS Invitation

-----Original Message-----

From: no-reply@wested.org [mailto:no-reply@wested.org]  
Sent: Friday, March 04, 2011 8:13 AM  
To: Stacy Savoca  
Subject: EXAMPLE OF CAIS INVITATION E-MAIL

Dear Stacy,

Welcome to CAIS, the California Accountability and Improvement System. This system will support CDE's monitoring and plan tracking activities.

Stacy Savoca sent you an invitation.

To log on and set up your account, click this link:

<http://64.147.175.16/Tracker/r.ashx?id=106de5c2-a464-4e46-b237-1c0007849ad6>

(You can also copy and paste this link into your internet browser.)

Then set up a password and click Create Account. Your password must be 8 or more characters and include at least one uppercase letter, one lowercase letter, a numeral and one of the following special characters: ! @ # ^ & \* \_ + ?

In the future, you may log in to the system by clicking the link below or typing the following address into your internet browser's address bar:

<http://64.147.175.16/Tracker>

For questions related to CAIS, please contact: [caishelp@cde.ca.gov](mailto:caishelp@cde.ca.gov)

Regards,  
The CAIS Team

CAIS Invitation Code: 2D116B7F94  
CAIS Email Address: [ssavoca@cde.ca.gov](mailto:ssavoca@cde.ca.gov)


8





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State Superintendent  
of Public Instruction

# CAIS Invitation

**California Accountability & Improvement System**

**Welcome to CAIS!**

Invitation Code \*

Email \*  1 ← Your email address is your username.

**Please create a password for your account.**

← 2 Password \*

Confirm Password \*

If you have trouble logging in, please contact: [caishelp@rda.ca.gov](mailto:caishelp@rda.ca.gov)

Passwords must be 8 or more characters.  
They must contain at least:

- one uppercase letter
- one lowercase letter
- one numeral
- and one of the following:  
! @ # ^ & \* \_ - ? = \$

Example: Password#4ycu



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State Superintendent  
of Public Instruction

# CAIS "Home"



California Accountability & Improvement System

Hi-Score! [Logout](#) [Help](#)

Home [File Cabinet](#)

LEAs

## LEAs

20*1 - 2012 School Year <input type="checkbox"/>	<input type="button" value="Update"/>
2009 - 2009 School Year	
2009 - 2010 School Year	
20*0 - 201* School Year	
20*1 - 2012 School Year	



## Filters

Location	<input type="text" value="Any Region"/>	<input type="text" value="Any County"/>
Instrument	<input type="text" value="Any Instrument"/>	
Goal Template	<input type="text" value="Any Template"/>	
LEA Name	<input type="text" value="Active"/>	<input type="button" value="Search"/>



10



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State Superintendent  
of Public Instruction

# “LEA Overview” or LEA Home Page

Monitoring	LEA Plan														
<p><b>Monitoring Instruments</b> ⚙</p> <table border="1"> <tr> <td><a href="#">Before and After School Programs - Cycle B (BASP)</a></td> <td>In Progress</td> </tr> <tr> <td><a href="#">Career Technical Education - Cycle B (CTE)</a></td> <td>In Progress</td> </tr> <tr> <td><a href="#">Compensatory Education - Cycle B (CE)</a></td> <td>In Progress</td> </tr> <tr> <td><a href="#">English Learner - Cycle B (EL)</a></td> <td>In Progress</td> </tr> <tr> <td><a href="#">HIV/AIDS Prevention - Cycle B (HIV)</a></td> <td>In Progress</td> </tr> <tr> <td><a href="#">Physical Education - Cycle B (PE)</a></td> <td>In Progress</td> </tr> <tr> <td><a href="#">Uniform Complaint Procedures - Cycle B (UCP)</a></td> <td>In Progress</td> </tr> </table>	<a href="#">Before and After School Programs - Cycle B (BASP)</a>	In Progress	<a href="#">Career Technical Education - Cycle B (CTE)</a>	In Progress	<a href="#">Compensatory Education - Cycle B (CE)</a>	In Progress	<a href="#">English Learner - Cycle B (EL)</a>	In Progress	<a href="#">HIV/AIDS Prevention - Cycle B (HIV)</a>	In Progress	<a href="#">Physical Education - Cycle B (PE)</a>	In Progress	<a href="#">Uniform Complaint Procedures - Cycle B (UCP)</a>	In Progress	<p><b>LEA Plan Overview</b></p> <p>Last Updated ⚙ : OIMa Sosa 04/20/2011 3:33 PM Status ⚙ : In Progress Progress ⚙ : 0 %</p> <p><b>Goals</b></p> <ul style="list-style-type: none"> <li><a href="#">Goal 2A: AMAO 1 - Annual Progress Learning English</a></li> <li><a href="#">Goal 2B: AMAO 2 - English Proficiency</a></li> <li><a href="#">Goal 2C: AMAO 3 - AYP for EL Subgroups</a></li> <li><a href="#">Goal 2D: High Quality Professional Development</a></li> <li><a href="#">Goal 2E: Parent and Community Participation</a></li> <li><a href="#">Goal 2F: Parental Notification</a></li> </ul>
<a href="#">Before and After School Programs - Cycle B (BASP)</a>	In Progress														
<a href="#">Career Technical Education - Cycle B (CTE)</a>	In Progress														
<a href="#">Compensatory Education - Cycle B (CE)</a>	In Progress														
<a href="#">English Learner - Cycle B (EL)</a>	In Progress														
<a href="#">HIV/AIDS Prevention - Cycle B (HIV)</a>	In Progress														
<a href="#">Physical Education - Cycle B (PE)</a>	In Progress														
<a href="#">Uniform Complaint Procedures - Cycle B (UCP)</a>	In Progress														
<p><b>FPM Review Information</b> ⚙ Schedule Review</p> <table border="1"> <tr> <td>Ceres Unfilled</td> <td>10/17/2011 - 10/21/2011</td> </tr> <tr> <td><a href="#">CDE Findings</a></td> <td></td> </tr> </table>	Ceres Unfilled	10/17/2011 - 10/21/2011	<a href="#">CDE Findings</a>												
Ceres Unfilled	10/17/2011 - 10/21/2011														
<a href="#">CDE Findings</a>															



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# LEA FPM Schedule

## "FPM Review Information"

Date 04/18/2011 - 05/27/2011

Description Documents must be uploaded by April 15, 2011.

Instruments (9)	Assignments	LEA REVIEW COORDINATOR
	REVIEW TEAM LEADER Stacy Savoca	Tommy Lasorda
INSTRUMENTS ▲	STATUS	REVIEWERS
<u>Before and After School Programs</u>	Received	Yvonne Evans Valeri Foster JLoe Hal Suzie Herkawa Wickey HoJee Patrice Hoseboom Linda Sain Stacy Savoca Choy Schneider
<u>Compensatory Education</u>	Received	Cam Dickinson
		LEA SUBMITTERS
		Minnie Mouse
		Paul McCarthy



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# Monitoring Overview Tab

## Program Instruments.

**California Accountability & Improvement System**
Hi Remote Logout Help Setup & Maintenance

Monitoring
1

**Ceres Unified - E071043000000**

**Monitoring**

Instruments
2
View CDE Findings

INSTRUMENTS	STATUS	LAST UPDATED	TEAM LEADER	SUBMITTERS	REVIEWERS	TOTAL / NONCOMPLIANT
<u>Before and After School Programs - Cycle B (BASP)</u>	In Progress	08/19/2011	Not Assigned	Cathy Pelanزا	Ueda San	24/0
<u>Career Technical Education - Cycle B (CTE)</u>	In Progress	08/18/2011	Not Assigned	Cathy Pelanزا	H. Mary Ualik Kuzel Yelke	12/0
<u>Compensatory Education - Cycle B (CE)</u>	In Progress	08/17/2011	Ramiro Nava	Cathy Pelanزا	Jay Salamanca	36/0
<u>English Learner - Cycle B (EL)</u>	In Progress	08/18/2011	Ramiro Nava	Cathy Pelanزا	Not Assigned	21/0



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# Monitoring Overview Tab

## Program Instrument Items.

**California Accountability & Improvement System**
Home | Lower | Help | Support & Maintenance

Monitoring
File Cabinet

**Ceres Unified - 00710430000000**  
**Monitoring**

Instruments
Items ←
View COE Findings | Export All (xls) | Print All (pdf)

Show

ITEM	INSTRUMENT	STATUS	DATE	LAST UPDATED
<b>EBASP 08: BASP Governance Effective Use of Public Resources</b>	<b>Before and After School Programs - Cycle B (BASP)</b>	In Progress		
<b>EBASP 09: BASP Governance Submits Data and/enters Records</b>	<b>Before and After School Programs - Cycle B (BASP)</b>	In Progress		
<b>EBASP 01: BASP Involvement Collaborates With Schools</b>	<b>Before and After School Programs - Cycle B (BASP)</b>	In Progress		
<b>IV-BASP 06: BASP Accountability Annual Evaluation Data</b>	<b>Before and After School Programs - Cycle B (BASP)</b>	In Progress		
<b>EBASP 13: BASP Finding Local Contributor of Cash or In-Kind</b>	<b>Before and After School Programs - Cycle B (BASP)</b>	In Progress		
<b>EBASP 03: BASP Governance Serves Pupils in Appropriate Grade</b>	<b>Before and After School Programs - Cycle B (BASP)</b>	In Progress		
<b>EBASP 14: BASP Finding Supplement Local Funds</b>	<b>Before and After School Programs - Cycle B (BASP)</b>	In Progress		
<b>EBASP 04: BASP Governance Oversees its Program's Budget</b>	<b>Before and After School Programs - Cycle B (BASP)</b>	In Progress		



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# File Cabinet

Select from Instrument Overview screen.

Select from Instrument item screen.

California Accountability & Improvement System

Cycle B Demo - 12341234567890  
File Cabinet

All Documents Evidence Requests Only

Show All School Years All Uploaders Monitoring And Plan Docs Show All Docs All Schools

68 LEA Documents

OPEN	TITLE	TYPE	UPDATED	BY	EVIDENCE REQUEST
23.5 KB	1512 ABBA Report	File	01/21/2011	Minda Howe (LEA)	1512 ABBA Report
8.0 KB	2008_2010_Grande's Case	File	12/17/2010	Paul McCann (FA)	
64.39 KB	CAIS Training.pptx	File	03/08/2011	Mary LEA (LEA)	
198 bytes	Content\1\docs\1512\removed	File	07/21/2011	Mindy Howe (LEA)	CAIS Training.pptx




15



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# “Add a Comment”

Comments can be added at the “Instrument Overview screen.

**Instrument Overview**   

Status: Received

Criteria Questions: None

Item Status	Updated
Meets requirements: 0	Last update: 1/6/2011 10:34:19 AM
Does not meet requirements: 0	by Administrator, Administrator
In progress: 24	
Not Monitored: 0	





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## “Add a Comment”

Comments can be added at the program instrument item screen.

**LEA Response**

▼ Collapse Outline

▼ I. Involvement

0 of 2 completed

↳ LEASP 04: BASP Involvement Collaboration With Schools

Compliance Status: In Progress

➔ [Q+] [1]



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# “Add a Comment”

**Add a Comment**

Comment Comments are sent by email to users with access to this element.

1

2 Enroll a copy to  Julie Hall - CDE A link to the comments page is included in the e-mail.  
 Mickey Mouse - CDC  
 Paul McCartney - Cycle D Demo  
 Minnie Mouse - Hayward Unified, Cycle D Demo, West Fresno Elementary, Enterprise Elementary, Toot District, Stanislaus County Office of Education, Red-Sunco: Unified, Solano County Office of Education

3 Add Recipients



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State Superintendent  
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# “Add a Comment”

Select “Post” to send comment.

Email a copy to  Julie Hall - CDE  Mickey Mouse - CDE  Paul McCartney - Cycle B Demo  Minnie Mouse - Hayward Unified, Cycle B Demo, West Fresno Elementary, Enterprise Elementary, Teal District, Stanislaus County Office of Education, Red-Sunset Unified, Solano County Office of Education

ⓘ A link to the comment page is included in the email.

**Add Recipients**

---

[Return To Previous Page](#)





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# Uploading Documents

CAIS provides the following direction to the right of the instrument item:

1. **Associated Documents** are documents which CAIS links to other instrument items within an instrument or to other Program Instrument items, i.e., LEAP, SPSA, and ConApp.
2. **Required and Suggested Documents** are program related documents.
  - Required Documents are referenced in the item, i.e., LEA policies/procedures and evaluation results.
  - Suggested Documents are not required but often demonstrate an LEA is meeting legal requirements, i.e., meeting notices and agendas, Parent Handbook, and newsletters.

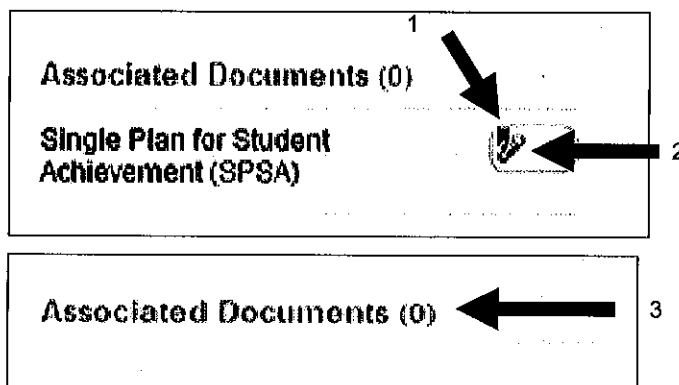
20



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# Uploading Documents

1. Associated Documents are identified with a red flag and Required and Suggested Documents.
2. Use the paperclip to upload documents listed in this section.
3. Instrument items without Associated Documents will not have a paper clip for uploading.





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# Uploading Documents

II-CE 04: CE LEA Plan, monitoring (+)

1

▼ Program Item

2

I-CE 1. An LEA operating ESEA Title I programs implements, monitors, and reviews the effectiveness of efforts to ensure that the LEA Plan to help low-achieving children meet challenging achievement academic standards. (20 U.S.C. §§ 6312 (a)(1)(A), (B), (d)(3), 6316 (a)(1)(D))

4.1 The LEA part, at the discretion of the LEA, may include descriptions of high-quality student academic assessments that, in addition to the State academic assessments, the LEA will use to determine what revisions are needed to projects in the plan so that children meet the State academic achievement standards. (20 U.S.C. § 6312 (b)(1)(A)(ii))

4.2 The LEA shall periodically review and, as necessary, revise its plan, which shall remain in effect for the duration of the LEA's participation under this part. (20 U.S.C. § 6312 (d)(2)(B))

Associated Documents (0)

- LEA Plan
- LEA Plan Addendum
- LEA Plan Evaluation
- Student academic assessment data and reports

Required and Suggested Documents (0)

3



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# Uploading Documents

Select a program instrument from the:

1. LEA Overview screen.
2. Monitoring tab.
3. Review Information screen.

California Accountability Improvement System

LEA Overview

LEA Overview Cycle B Demo - 12341234567890 (3.2)

Monitoring

Monitoring Instruments	Status
ABRA Title I Application	In Progress
Before and After School Programs - Cycle B (BASB)	Submitted
Career Technical Education - Cycle B (CTE)	In Progress
Child Development - Cycle B (CD)	In Progress
Compensatory Education - Cycle B (CE)	In Progress
Charter Magnet Review (CMA)	In Progress
QRD/OME Desk Review	In Progress
Education Jobs Fund - Cycle B (EJF)	Submitted

FPM Review Information

Cycle B Demo 10/03/2011 - 10/07/2011

Goals

LEA PI

23



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# Uploading Documents

Select "Expand Outline" to view the instrument items.

### Instrument Overview ⊕

Status: In Progress

Criteria Questions: None

<b>Item Status</b> ⊕	<b>Updated</b> ⊕
Meets requirements: 0	Last update: 8/1/2011 10:40:15 AM
Does not meet requirements: 0	by Administrator, Administrator
In progress: 36	
Not Monitored: 0	

**CDE** ⊕ **Review**

- ▶ **Expand Outline** ←
- ▶ **I. Involvement** 0 of 3 completed
- ▶ **II. Governance and Administration** 0 of 14 completed
- ▶ **III. Funding** 0 of 8 completed
- ▶ **IV. Standards, Assessment and Accountability** 0 of 3 completed

24





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# Uploading Documents

Select the instrument item.

### Instrument Overview Q+

Status: In Progress

Criteria Questions: None

Item Status	Updated
Meets requirements: 0	Last update: 7/26/2011 9:24:21 AM
Does not meet requirements: 0	by Administrator, Administrator
In progress: 7	
Not Monitored: 0	

### LEA Response

▼ Collapse Outline

▼ **III. Funding** 0 of 7 completed

- III-FM 1: Timekeeping Requirements Q+  
Compliance Status: In Progress
- III-FM 2: Allowable Costs Q+  
Compliance Status: In Progress
- III-FM 3: Supplement, Not Supportant Q+

25



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## Uploading Documents

1. Required and Suggested Documents are listed in the same area in CAIS and may also be listed under Associated Documents.
2. Refer to the instrument item to determine all required documents.
3. Use the paperclip to upload all documents including those not listed in the Associated Document section.

**Required and Suggested Documents**  
(0)

- Chart of Accounts
- General ledger
- Invoices, Purchase Orders, etc.

1 →

→ 2

26



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of Public Instruction

# Uploading Documents

There are four options to upload documents in CAIS:

This document is a

- New File   File size limit: 500 MB
- Existing File
- Link to a web page URL:
- Hard copy reference only



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# Uploading Documents

1. Add a New File by browsing your computer and selecting the file to add.
  - Provide a Title and Description.
  - The default for the Title is the file name but you may uncheck this to create your own.
  - Be sure to include file types that are generally able to be opened on most computers: Microsoft Office applications such as Word and Excel, PDF files and text files.
  - If you have files in a software format not available to most users (Photoshop or design software), please convert to a PDF file.



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# Uploading Documents

**Title \*** The maximum length for title is 100 characters. ← 1

Use filename

Description ← 2

Draft 3 →

This is a school document for

- Blue Elementary School - 45454545454
- Green Middle School
- Purple High School - 67676767676
- Yellow Middle School - 12121212121

4 →

ⓘ Draft documents may not be downloaded by CDE. Be sure to us check the Draft box before submitting the document.



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State Superintendent  
of Public Instruction


## Uploading Documents

2. Select an Existing File that has already been added by the LEA or School to the LEA File Cabinet.
  - Only documents (including links and hard copy references) that have been provided by your organization will be available for selection to attach to a new instrument item.
  - Select Existing File, then select the Browse button.
  - You will see a view of the entire LEA file cabinet.
  - You may select one or multiple documents by checking the box to the left of each document title.
  - Select the Review button at the bottom of the screen to confirm the selected documents.
  - Then select Attach to save.



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# Uploading Documents



**California Accountability & Improvement System** [Home](#) [Login](#) [Help](#) [Site Map](#) [Feedback](#)

**Cycle B Demo - 12341234667890**

---

Instrument Item: [Test Results Requirements](#)


**Attach a Document**


**Filekeeping Requirements**

This document is a  New File  
Allowed file types: .docx, .doc, .xlsx, .xls, .pdf, .txt, .ppt, .pptx

Existing File  
 Link to a web page (.url)  
 Hard copy reference only

Please do not upload documents that contain student-identifying or otherwise sensitive information

1 

2 



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# Uploading Documents

California Accountability & Improvement System Hilmar Lobed [Help](#) [Sign Out/Logout](#)

---

**Cycle B Demo - 12341234667880**  
**File Cabinet**

**Attach a Document**

Instrument Item: Timekeeping Requirements  
Evidence Description: \_\_\_\_\_

Show: All Schools Yes All Uploaders

Monitoring And Plan Docs  Show All Docs  All Schools

**66 LEA Documents**

CPEN	TITLE A	TYPE	UPDATED	BY	EVIDENCE REQUEST
<input checked="" type="checkbox"/> 23.6 KB	<a href="#">1512 ABRA Report</a>	file	01/21/2011	Winnie Morales (LEA)	<a href="#">1512 ABRA Report</a>
<input checked="" type="checkbox"/> R01.XLX	<a href="#">B 2009_2010_financials.xlsx</a>	file	12/18/2010	Pauline Carney (LEA)	
<input checked="" type="checkbox"/> 89.19 KB	<a href="#">CALA Training notes</a>	file	07/02/2011	Wary LEA (LEA)	
<input checked="" type="checkbox"/> 140 bytes	<a href="#">Confidential document removed</a>	file	07/21/2011	Wiley House (CDE)	<a href="#">Automatically generated system documents</a>
<input checked="" type="checkbox"/> 519.72 KB	<a href="#">Consolidated Application</a>	file	09/08/2011	Stacy Service (CDE)	<a href="#">Consolidated Application</a>
<input type="checkbox"/> 163.63 KB	<a href="#">B Improving Teacher Quality_IOP_08-01-2011.pdf</a>	file	09/01/2011	Stacy Service (CDE)	<a href="#">Automatically generated system documents</a>

1 2 3

3 →

4 →





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# Uploading Documents

Review your selections below, then click "attach" button  
5 LEA Documents

OPEN	TITLE	TYPE	UPDATED	BY	EVIDENCE REQUEST
<input checked="" type="checkbox"/> 23.5 KB	<a href="#">1512 ARRA Report</a>	ke	01/21/2011	Janet Hoover (LEA)	<a href="#">1512 ARRA Report</a>
<input checked="" type="checkbox"/> 8.01 KB	<a href="#">@ 2009_2010_fincials.dcx</a>	ke	12/10/2010	Pau McCortney (LEA)	
<input checked="" type="checkbox"/> 60.99 KB	<a href="#">CAJ&amp;Trainings.pdf</a>	ke	03/08/2011	Mary LEA (LEA)	
<input checked="" type="checkbox"/> 108 bytes	<a href="#">Confidential document removed</a>	ke	07/21/2011	Haley Hoase (COE)	<a href="#">Automatically generated system document</a>
<input checked="" type="checkbox"/> 599.72 KB	<a href="#">Consolidated Application</a> The section related to page 5.	ke	06/09/2011	Sarcy Savoca (COE)	<a href="#">Consolidated Application</a>

5

33



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of Public Instruction

## Uploading Documents

3. Link to a Web page may be selected if your document(s) are located on the Web page itself, such as an LEA Web site where parent notifications are available.
  - Add a URL, including "http://" to create the record.
  - Provide a direct link to the document.
  - Files need to be directly located by one click.
  - Provide a Title and Description of the Web link.



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# Uploading Documents

**Attach a Document**

**File Keeping Requirements**

This document is a  New File  
Allowed file types: doc, docx, xls, xlsx, pdf, ppt, pptx

Existing File

Link to a web page URL:  ← 1

Hard copy reference only

Title \* Title length is 29 characters. The maximum length is 100 characters.  
 ← 2

Description Local educational agency (LEAs) may be selected for an on-site or online monitoring every ten years. This model demonstrates the distribution of the cycles for a four year period. ← 3

Draft

This is a school document for  Blue Elementary School - 4545454545 ← 4  
 Green Middle School  
 Purple High School - 6767676767  
 Yellow Middle School - 1212121212

← 5

Drafted documents may not be downloaded by CDE. Be sure to un-check the Draft box before submitting the document.



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## Uploading Documents

4. Select the Hard Copy Reference Only option to indicate that you are not uploading a document, i.e., documents that contain student-identifying, or otherwise sensitive information.
  - Provide a Title and Description.
  - Indicate in the Description field where the document is available for review.



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of Public Instruction

# Uploading Documents

**Attach a Document**

**File/Uploading Requirements**

This document is a  New File  
Aligned file types: .docx, .doc, .xlsx, .xls, .pdf, .ppt, .pptx

Existing File  
 Link to a web page URL  
 Hard copy reference only

Please do not upload documents that contain student identifying or otherwise sensitive information

Title \* Title length is 28 characters. The maximum length is 100 characters.  
Student data with assessment

Description: This information will be available at the District Office

Draft

This is a school document to:

Blue Elementary School - 4545454545  
 Green Middle School  
 Purple High School - 678767676  
 Yellow Middle School - 121212121

Draft documents may not be downloaded by IIS. Be sure to uncheck the Draft box before submitting the document.



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# Submit Instrument

When an LEA has completed their upload of documents they are to select the “Submit to State” button to change program instrument status from “In Progress” to “Submitted.”

### Instrument Overview (Q+)

Status: In Progress **← 2**

**Submit to State** **← 1**

Criteria Questions: None

Item Status	Updated
Meets requirements: 0	Last update: 7/25/2011 12:17:33 PM
Does not meet requirements: 0	by Administrator, Administrator
In progress: 24	
Not Monitored: 0	



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# Submit Instrument

Status change confirmation.

## CONFIRM INSTRUMENT STATUS CHANGE

You are about to submit the evidence for this instrument to GDE for review. Click 'Submit' to confirm, or 'Cancel' to return to the instrument without saving changes.

### Instrument Overview



Status: In Progress

Criteria Questions: None

#### Item Status

Meets requirements: 0

Does not meet requirements: 0

In progress: 24

Not Monitored: 0

#### Updated

Last update: 7/25/2011 12:17:33 PM

by Administrator, Administrator




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# Submit Instrument

Status is now changed to "Submitted."

## Instrument Overview Q+

Status: Submitted 

Criteria Questions: None

### Item Status

Meets requirements: 0

Does not meet requirements: 0

In progress: 24

Not Monitored: 0

### Updated

Last update: 7/25/2011 12:17:33 PM

by Administrator, Administrator





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# Instrument Received

Status is changed to "Received" by program reviewers.

Program reviewers will now formally review documents.

**Instrument Overview** 2 18

Status: Received ← 1

Criteria Questions: None

Item Status	Updated
Meets requirements: 0	Last update: 12/13/2010 10:49:00 AM
Does not meet requirements: 1	by ← 2
In progress: 36	
Not Monitored: 0	



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## Notification Of Findings: No Findings

When the FPM review is completed the LEA will receive this CAIS notification via e-mail. The Notification of Findings (NOF) report will be posted on CAIS.

### COMMENT DETAILS

< Newer 1 of 4 Older >

[X Remove Comment](#)

Posted by **Geeta Rezvani**

On **6/15/2011 9:40:51 AM**

Emailed to **Laura Moore, Ramiro Nava, Geeta Rezvani, Juan J. Sanchez, Valerie Turpen**

Comment **This email is being sent to notify you that the Improving Teacher Quality monitoring instrument status for Hesperia Unified - 33780440000000 has been changed to Accepted by Geeta Rezvani at CDE.**

The Accepted status indicates that the state is finished with all work for the instrument and does not expect any further action from the lea.

If you have any questions about using the system, please contact technical support at [caishelp@cde.ca.gov](mailto:caishelp@cde.ca.gov).

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## Notification Of Findings: Findings

When the FPM review is completed the LEA will receive this CAIS notification via e-mail.

The Notification of Findings (NOF) report will be posted on CAIS.



**Fontana Unified**  
Physical Education

### COMMENT DETAILS

< Newer 1 of 6 Older >

[X Remove Comment](#)

Posted by Doug Jann

On 7/5/2011 10:08:21 AM

Emailed to Bob Calvo, Doug Jann, Kimberly MacKinney-Director, Secondary Instruction, Ramiro Nava, Lisa Rivero

Comment This email is being sent to notify you that the Physical Education monitoring instrument status for Fontana Unified - 3667710C003000 has been changed to Needs Further Action by Doug Jann at CDE.

Compliance due date(s) and indicator(s):

Date Indicator

08/19/2011 FE Teaching High School

Comments: The law requires school districts that maintain a high school to provide a course of study in physical education to pupils in any of grades 9 to 12, inclusive, with a developmentally appropriate sequence of instruction, including (1) The effects of physical activity upon dynamic health; (2) Mechanics of body movement; (3) Aquatics; (4) Gymnastics and tumbling; (5) Individual and dual sports; (6) Rhythms and dance; (7) Team sports; and (8) Combatives (may include self defense). The course descriptions provided by the school district do not include descriptions of a course of study in physical education to pupils in any

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## Resolution of Findings

During the exit meeting, the RTL will provide the LEA with guidance on the resolution process and instruct the LEA to do the following:

- Download a copy of the Proposed Resolution of Findings (PRF) form from the CDE Compliance Monitoring Web page.
- Submit a PRF form **every time** resolution documents are uploaded for each program instrument item.



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# PRF Form

California Department of Education  
Data Management Division  
CPM-001 (REV. 05/2011)

## Proposed Resolution of Findings Form

County/District Code:						LEA Name:	
Categorical Program Name:							
Item #:				NOF Date:			

The LEA or applicable agency certifies that all corrective actions specified below have been or will be implemented at all sites in the LEA and ensures that the new procedures will be used in the future.

LEA Administrator or Authorized Designee Name and Title | Telephone Number

E-mail Address | Date

Name and Title of CPM Coordinator:

<b>Check one of the following two boxes: [ X ]</b>
<input type="checkbox"/> <b>Option A: Finding resolved within 45-calendar-day period or following a Resolution Agreement.</b> Specific corrective actions have resolved the finding. The LEA describes here actions and provides a list of documents used to meet requirements (show file names when applicable). Upload in CAIS all applicable documentation that supports this proposed resolution.
<input type="checkbox"/> <b>Option B: Finding cannot be resolved within the 45-calendar-day period</b> The LEA requests a Resolution Agreement for additional time to implement the following corrective actions. Describe the agreement and the steps the LEA will take to resolve the finding. _____ Provide a proposed Date of Resolution (Resolution date cannot exceed 100 days from the Notification of Findings): _____ The Program Reviewer will approve or deny this PRF request using CAIS comments.

Note: Please complete and upload to CAIS a separate PRF form for each finding.

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# Resolution of Findings

## Option A

A finding is resolved within the 45 calendar day period or during a resolution agreement.

The LEA uploads the following:

- The completed PRF form with Option A completed
- Resolution documents



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## Resolution Agreement Requests

- Resolution Agreement requests will be used to approve or deny at the instrument item level comments.
- Resolution Agreement requests will be approved or denied within five calendar days of posting on CAIS.
- Resolution Agreement requests cannot be granted beyond 180 days from the NOF due date.



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## Resolution of Findings

- An approved Resolution Agreement suspends, for the duration of the approved agreement, any enforcement actions that the CDE might otherwise perform.
- Upon expiration of the Resolution Agreement, CDE will resume enforcement actions.





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# Resolution of Findings

- PRF form and resolution documents are uploaded at the instrument item identified as “Does Not Meet Requirements.”
- Instrument item is selected.
- Paper clip under “Required and Suggested Documents” is selected.

▼ III. Funding 1 of 1 completed (1 not in compliance)

1) III-ITQ 03: ITQ Funding III ← 2  
Compliance Status:  Does Not Meet Requirements ← 1

▼ IV. Standards, Assessment and Accountability 2 of 2 completed (1 not in compliance)

1) IV-ITQ 04: ITQ Funding Highly Qualified Teachers ← 4  
Compliance Status: Not Monitored

Required and Suggested Documents (3) ← 3

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\* Budget Agreement (if Level C)

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## Resolution of Findings

LEA uploads documents and changes program instrument item status.

I-ITQ 01: ITQ Involvement LEA Plan Q1 10

DUE DATE : 09/09/2011

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2 [Resubmit Item](#)

▼ State Findings

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SEA Status: Resubmitted for Review 1

Comments by SEA

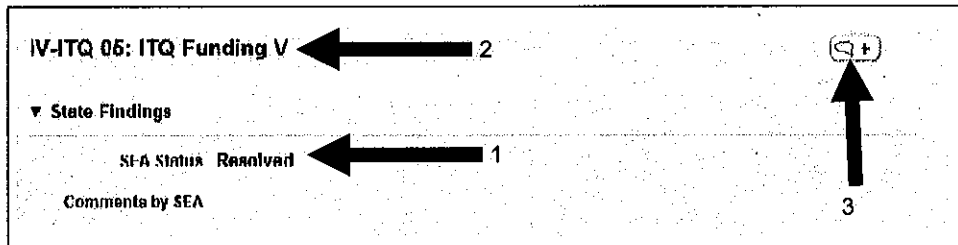
CAIS will post a comment in the program instrument item and send an e-mail to all staff associated with the program instrument.



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# Resolution Process

When a finding has been resolved, the program reviewer will change the program instrument “SEA Status” to “Resolved” and posts a comment at the program instrument item level informing the LEA of this resolution.






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# Resolution Process

When all findings in a program instrument have been resolved, program reviewers will change the program instrument status from "Needs Further Action" to "Accepted."

**Instrument Overview** (28) 2

Status: Accepted 

Criteria Questions: None

<b>State Item Status</b>	<b>Updated</b>
Meets requirements: 6	Last update: 1/26/2011 12:16:30 PM
Does not meet requirements: 0	by Nava, Ramiro
In progress: 0	
Not Monitored: 0	



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## Resolution Process

The LEA will receive a notification via an e-mail that the all findings have been resolved within the 45 day calendar day period.

### COMMENT DETAILS

< Newer 1 of 12 Older >

[✕ Remove Comment](#)

Posted by Shobhana Rishi

On 6/27/2011 3:20:56 PM

Emailed to Donna Cclosky, Will Lee, Dave Mobley, Ramiro Nava, Trena Nelson, Shobhana Rishi, Matthew SchJenberg

Comment This email is being sent to notify you that the English Learner monitoring instrument status for Apple Valley Unified - 36750770000000 has been changed to Accepted by Shobhana Rishi at CDE.

The Accepted status indicates that the state is finished with all work for the instrument and does not expect any further action from the lea.

If you have any questions about using the system, please contact technical support at [caishelp@cde.ca.gov](mailto:caishelp@cde.ca.gov).

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## Resolution Process

When resolution documents do not resolve a finding, the Program Reviewer changes the program instrument item status from “Resubmitted for Review” to “Does Not Meet Requirements” and posts a comment.

**DUE DATE : 09/09/2011**

[Resubmit Item](#)

▼ **State Findings**

**SEA Status: Does Not Meet Requirements** ←

Comments by SEA



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# Resolution Agreement Approval

When the Program Reviewer approves a Resolution Agreement request, the program instrument item status is changed from "Resubmitted for Review" to "Does Not Meet Requirements" and reviewer posts an approval comment.

DUE DATE : 09/09/2011

Resubmit Item

▼ State Findings

SFA Status **Does Not Meet Requirements** ←

Comments by SEA

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## Resolution Agreement Due Date

Program Reviewer changes the “Due Date,” within five calendar days, in the program instrument item to reflect the date on the approved resolution agreement request.

DUE DATE: 09/09/2011	← 2	Resubmit Item
▼ State Findings		
SEA Status: Does Not Meet Requirements	← 1	
Comments by SEA		





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# Resolution Agreement Denial

When the Program Reviewer denies a Resolution Agreement request, the program instrument item status is changed from "Resubmitted for Review" back to "Does Not Meet Requirements" and reviewer posts a comment with a reason for the denial.

DUE DATE : 09/09/2011	
<a href="#">Resubmit Item</a>	
▼ State Findings	
SFA Status	Does Not Meet Requirements ←
Comments by SEA	

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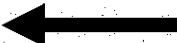


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State Superintendent  
of Public Instruction

# Resolution Process

When all findings in a program instrument have been resolved, program reviewers will change the program instrument status from “Needs Further Action” to “Accepted.”

**Instrument Overview** 8 2

Status: Accepted 

Criteria Questions: None

<b>State Item Status</b>	<b>Updated</b>
Meets requirements: 6	Last update: 1/26/2011 12:16:30 PM
Does not meet requirements: 0	by Nava, Ramiro
In progress: 0	
Not Monitored: 0	

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## Resolution Process

The LEA will receive a notification via an e-mail that all findings have been resolved at the conclusion of the Resolution Agreement.

### COMMENT DETAILS

< Newer 1 of 12 Older >

[✕ Remove Comment](#)

Posted by Shobhana Rishi

On 6/27/2011 3:20:56 PM

Emailed to Donna Colosky, Will Lee, Dave Mobley, Ramiro Nava, Trenae Nelson, Shobhana Rishi, Matthew Schulenberg

Comment This email is being sent to notify you that the English Learner monitoring instrument status for Apple Valley Unified - 3875077C000000 has been changed to Accepted by Shobhana Rishi at CDE.

The Accepted status indicates that the state is finished with all work for the instrument and does not expect any further action from the lea.

If you have any questions about using the system, please contact technical support at [calahelp@cde.ca.gov](mailto:calahelp@cde.ca.gov).



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## Contact Information

### **Federal Program Monitoring Office**

916-319-0935

[fpmoffice@cde.ca.gov](mailto:fpmoffice@cde.ca.gov)

<http://www.cde.ca.gov/ta/cr/>

**Ramiro Nava, Educational Programs Consultant**

916-319-0375

[rnav@cde.ca.gov](mailto:rnav@cde.ca.gov)

**Stacy Savoca, Associate Governmental Program Analyst**

916-319-0502

[ssavoca@cde.ca.gov](mailto:ssavoca@cde.ca.gov)

### **CAIS Help Desk**

916-319-0935

[CAISHelp@cde.ca.gov](mailto:CAISHelp@cde.ca.gov)

LACOE Region 11 After School Program Monitoring (FPM) Checklist©

Dimension	FPM items	Documents or Evidence that our program is compliant	Satisfies requirement	Strategy to bring our program into compliance
<b>Involvement</b>	BASP 1.1.(ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency plans collaboratively with parents, youth, representatives of participating public schools (e.g., school site principals and staff), governmental agencies, such as city and county parks and recreation departments, local law enforcement, community organizations, and the private sector		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	1. 2.(ASES, 21 <sup>st</sup> CCLC, ASSETS) The program was developed and will be carried out in active collaboration with the schools the students attend and integrated with the regular school day and other extended learning opportunities.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	1. 3.(ASES, 21 <sup>st</sup> CCLC, ASSETS) Offsite programs align the educational and literacy/academic assistance element of the program with participating students' regular school programs.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
	1-BASP 2. (21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency consulted with appropriate private school officials during the development of the program concerning:		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
<b>Governance &amp; Administration</b>	II-BASP 3. 1, 3.2, 3.3 (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency serves pupils in appropriate grade levels at participating schools		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	II-BASP 4. 1 -4.4 (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency operates its program the required number of hours per day and days per week on every regular school day.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Dimension</b>	<b>FPM item</b>	<b>Documents or Evidence that our program is compliant</b>	<b>Satisfies requirement</b>	<b>Strategy to bring our program into compliance</b>

Dimension	FPM item	Documents or Evidence that our program is compliant	Satisfies requirement	Strategy to bring our program into compliance
<b>Governance &amp; Administration</b>	II-BASP 5. (ASES, 21 <sup>st</sup> CCLC) The LEA/grantee agency has established policies for reasonable early release of pupils in the after school program and reasonable late daily arrival of pupils in the before school program.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
	BASP 6.1 (ASES, 21 <sup>st</sup> CCLC, ASSETS) The nutritious snack conforms to the nutrition standards in Article 2.5 of Chapter 9 of Part 27		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	BASP 6.2 (ASES, 21 <sup>st</sup> CCLC) The before school program offers a breakfast meal for attending students as described by Section 49553		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
	II-BASP 7. (ASSETS) The program includes a physical activity element.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
	8.1(ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency reviews its after school program plan every three years including, but not limited to, program goals, program content, outcome measures, and other information requested by CDE.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	8.2(ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency maintains documentation of the after school program plan for a minimum of five years.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	8.3 (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency submits program attendance data semiannually and regular school day attendance data annually		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	II-BASP 9. (21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency coordinates with other federal, state, and local programs to make the most effective use of public resources.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	

<b>8 Governance &amp; Administration</b>			<input type="checkbox"/> Yes <input type="checkbox"/> No	
II-BASP 10. (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency maintains an inventory record for each piece of equipment, with an acquisition cost of \$500 or more per unit, that is purchased with state and/or federal funds.		<input type="checkbox"/> Yes <input type="checkbox"/> No		
10.1 The school district has conducted a physical check of the inventory of equipment within the past two years and has reconciled the result with inventory records.		<input type="checkbox"/> Yes <input type="checkbox"/> No		
11.1 (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency spends no more than 15 percent of the amount of the grant for administrative costs, which includes any indirect costs.		<input type="checkbox"/> Yes <input type="checkbox"/> No		
11.2 (ASSETS) The LEA/grantee agency spends no more than the greater of 6 percent of the grant amount or seven thousand five hundred dollars (\$7,500) to collect outcome data for evaluation and for reports as required by the CDE.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA		
12.1 (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency submits annual budget reports and quarterly expenditure reports.		<input type="checkbox"/> Yes <input type="checkbox"/> No		
12.2 (21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency conducts an annual fiscal audit.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA		
<b>Funding</b> III-BASP 13. (ASES) The LEA/grantee agency operating an ASES program has obtained a local contribution of cash or in-kind local funds equal to not less than one-third of the total grant amount. Facilities or space usage may fulfill not more than 25 percent of the match		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA		

Dimension	FPM item	Documents or Evidence that our program is compliant	Satisfies requirement	Strategy to bring our program into compliance
Funding	III-BASP 14. (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency uses categorical funds only to supplement, and not supplant, state and local funds		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Standards, Assessment, and Accountability	IV-BASP 15. (21 <sup>st</sup> CCLC, ASSETS) The program developed by the LEA/grantee agency meets evaluation requirements and principles of effectiveness:			
	(a) Program is based upon an assessment of objective data regarding the need for before and after school programs (including during summer recess periods) and activities in schools and communities:		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	(b) Program is based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment activities;		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	(c) Program is based upon scientifically based research that will help the students meet state and local academic achievement standards (if appropriate);		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	(d) Program undergoes a periodic evaluation to assess progress toward providing high-quality opportunities for academic enrichment;		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	(e) The results of evaluations are used to refine and improve the program and its performance measures; and		<input type="checkbox"/> Yes <input type="checkbox"/> No	
(f) The results of evaluations are made available to the public upon request with public notice of such availability provided.		<input type="checkbox"/> Yes <input type="checkbox"/> No		



Dimension	FPM item	Documents or Evidence that our program is compliant	Satisfies requirement	Strategy to bring our program into compliance
Standards, Assessment Cont.	IV-BASP 16. (ASES, 21 <sup>st</sup> CCLC, ASSETs) The LEA/grantee agency submits required annual outcome-based data for evaluation.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	V-BASP 17. (ASES, 21 <sup>st</sup> CCLC, ASSETs) The LEA/grantee agency provides staff training and development.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	V-BASP 18. (ASES, 21 <sup>st</sup> CCLC, ASSETs) The LEA/grantee agency ensures that programs maintain a student-to-staff ratio of no more than 20 to 1.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Staffing and Professional Development	V-BASP 19. (ASES, 21 <sup>st</sup> CCLC, ASSETs) The LEA/grantee agency ensures that all staff members who directly supervise pupils meet the minimum qualifications for an instructional aide according to the policies of the school district.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	VI-BASP 20. (ASES, 21 <sup>st</sup> CCLC, ASSETs) The LEA/grantee agency provides services in a safe and easily accessible facility that ensures students travel safely to and from the program site and home.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
Opportunity and Equal Access	20.1 (21 <sup>st</sup> CCLC, ASSETs) If program is located in a facility other than a school, the grantee agency has ensured that the program will be at least		<input type="checkbox"/> Yes <input type="checkbox"/> No	

accessible as if the program were located in a school.		<input type="checkbox"/> NA	
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Dimension	FPM item	Documents or Evidence that our program is compliant	Satisfies requirement	Strategy to bring our program into compliance
<b>Opportunity and Equal Access Cont.</b>	20.2 (ASES, 21 <sup>st</sup> CCLC, ASSETS) If an LEA/grantee agency locates a program off school grounds, safe transportation is provided to the pupils enrolled in the program.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
	VI-BASP 21. (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency makes services equally accessible to all students and families of students targeted for services regardless of their ability to pay.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
	21.1 (21 <sup>st</sup> CCLC, ASSETS) If the LEA/agency does charge fees, it uses a sliding scale of fees and scholarships for those who cannot afford to participate.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
VI-BASP 22. (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency provides parents with information on school and parent activities in a format and, to the extent practicable, in a language the parents can		<input type="checkbox"/> Yes <input type="checkbox"/> No		

	understand.			
Dimension	FPM item	Documents or Evidence that our program is compliant	Satisfies requirement	Strategy to bring our program into compliance
<b>Opportunity and Equal Access Cont.</b>	22.1 When 15 percent or more of students enrolled in a public school speak a single primary language other than English, as determined by language census data from the preceding year, all notices, reports, statements, and records sent to parents of such students are written in English and the primary language.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Teaching and Learning</b>	VII-BASP 23. (ASES, 21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency provides opportunities for: <ol style="list-style-type: none"> <li>a. Academic enrichment to help students to meet state and local academic standards in core academic subjects such as reading and mathematics.</li> <li>b. Educational enrichment services, programs, and activities that are designed to reinforce and complement the regular academic program of participating students.</li> </ol>		<input type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Yes <input type="checkbox"/> NO	
	VII -BASP 24. (21 <sup>st</sup> CCLC, ASSETS) The LEA/grantee agency provides literacy and related educational development for families of students served.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	

## TIPS FOR PREPARING FOR FPM BEFORE AND AFTER SCHOOL PROGRAMS

### A. Documentation

1. Get a large box(es) to keep your hanging files for your FPM file system (plastic or cardboard). Place hanging files in the box.

You may want to have one program box with district (program level) data and one box for each school site to be reviewed. Have the program box available at the district office for the FPM review team to begin reviewing following the CFPM entrance meeting.

You may need to make more than one copy of some of the documents, so they can be included in the program box and the site box(es).

2. Gather all the items that you believe would answer the question and/or provide proof of meeting the BASP item; and put them in the correct folder.
3. Using the Region 11 FPM checklist, gather a team and review the documents to determine if you have adequate documentation; and if so, mark the page and paragraphs that are applicable. If you find you need more information note it on the form and assign responsibility for collection of the item.
4. Once you have all of your items, you are then ready to begin to upload the documents.
5. Note: throughout the year as you make changes, etc. to documents, it is wise to keep your Master box and/or site boxes updated.

### B. Folders for documentation

1. Review the Program FPM instrument for the ASES, 21<sup>st</sup> CCLC, and ASSETs Programs; they include the Program Instrument. Make a copy of each and put them in a three-hole binder for each site.
2. Duplicate several copies of the FPM Instrument. Cut out each core item and supplemental items sections and paste (tape) to the front

## TIPS FOR PREPARING FOR FPM BEFORE AND AFTER SCHOOL PROGRAMS

of manila folders. You should have a separate manila folder for each item in the Program Instrument. Label the hanging folders with each of the seven areas. This will be the main sections of your box and hanging file system.

3. Put the manila folders, labeled for each item, in the appropriate area hanging folder. Then start gathering your required evidence for that item and place it in the related folder. You may need to add additional folders for some items that have large documents or several documents of evidence.
4. In some folders, you may need to indicate that the information is located somewhere else, such as a separate binder of advisory committee minutes. Have the separate binders available at the entrance meeting if possible. If required documentation, such as staff qualifications, is in the Personnel Office, provide samples at the entrance meeting.
5. If the evidence for an item is located in a booklet, highlight the location in the booklet, and put a colored tab on it to make it easier for the reviewer to read. Place in the file box.
6. If you don't have any evidence for an item, you may want to type a statement indicating your plan for meeting the requirement put it in the folder. You may still be marked as not meeting requirements for that item, but if the LEA submits evidence within 45 days of the FPM visit, the LEA can clear the item.
7. If the district is sub-contracting services for the after school program, the district is still the party responsible for the FPM visit and gathering and providing sufficient evidence that the item is meeting requirements. It is suggested that the district work together with the sub-contractor to gather all required documents for the file box and prepare for the FPM visit. Both groups should be at the FPM entrance and exit meetings. The LEA is ultimately responsible for all program components and resolving any items that do not meet requirements

**TIPS FOR PREPARING FOR FPM  
BEFORE AND AFTER SCHOOL PROGRAMS**

**C. Staff Training**

1. Form a small workgroup from your program to work on this. Have all your group members become familiar with the instruments. Then train all site supervisors, who will then train the staff at the sites to be reviewed.
2. Hold mock site visits at sites, so staff are comfortable with answering questions, referring to documentation and know how to address issues

**D. Visit (if applicable)**

1. Provide a work space where the box is located for the FPM review team so they can work throughout the day.
2. Keep your schedule free during the visit as you will be on call during this time.
3. At the end of each day during the review, there will be a debrief discussion with the school principal and other staff. This process will inform the school and district of the status of the review and alert them if any items do not appear to meet requirements. The reviewers may require more documentation; the program staff can continue to gather documents and bring them to the review team up until the morning of the exit meeting.
4. At each school site there will also be an entrance meeting and debrief at the end of each day. The principal welcomes the review team, introduces the staff, and may provide information on challenges and strategies for that particular school site. It is important that the Principal include the BASP program in their overview of services offered to the students and address the partnership between the instructional day and the after school program.

## **TIPS FOR PREPARING FOR FPM BEFORE AND AFTER SCHOOL PROGRAMS**

5. If additional documents are brought in for review, make a copy and add it to the file box.

### **E. General Hints**

1. Begin preparing for a FPM at least a year ahead of the scheduled FPM, or as soon as you are aware that your district and school will be reviewed this year. Continue placing materials in the appropriate folder throughout the year. Meet with staff periodically, working with them so they become familiar with the FPM Program Instrument and documents needed for the review.
2. Be sure to keep records for 5 years. The FPM team usually focuses on current year materials. However, the reviewer will look at previous year materials if necessary. There are a few items in the Program Instrument that require prior year data, such as annual evaluation report, program planning documents from existing programs.
3. Don't throw out the box of evidence when the FPM visit is completed. Build on the box and continue to put evidence in the box. This will help prepare for fiscal audits and for the next FPM in four years.
4. Continue to add materials to the district FPM box, and add new boxes as new sites are added to the program.

Note: Thanks to Damian Maldonado, (former Region 10 Co leader and independent consultant) who contributed to this document. This document was prepared by Mary Jo Ginty, Region 11, After School Regional Lead.

# FPM Frequently Asked Questions

Answers to frequently asked questions regarding the FPM process.

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1. Why has the name of the monitoring process changed to Federal Program Monitoring?

The new name, Federal Program Monitoring (FPM), more closely identifies the monitoring tasks which federal and state law requires California Department of Education (CDE) to perform.

2. What assistance is available to help district and site administrators understand the FPM process?

The FPM Office offers training regarding the FPM process and how to use the California Accountability and Improvement System (CAIS). Regional Team Leaders (RTLs) ([link to RTL contact information](#)) and CAIS County Leads ([link to contact information](#)) are available to provide LEAs assistance.

3. Is an LEA self-review required in FPM?

The CDE no longer requires LEAs to conduct a self-review. LEAs are responsible for creating and maintaining federal and state programs which meet requirements. The CDE uses CAIS, a Web-based system, to manage electronic documents. CAIS includes a self-review feature, which is optional for LEA use and will not be part of the FPM process.

4. Can an LEA expect to receive any technical assistance from CDE staff during the FPM process?

FPM program monitors do not provide technical assistance during the monitoring process; they are responsible for explaining findings and what the LEA must do to resolve them. During the preparation phase and the resolution phase, program monitors can provide technical assistance if requested by the LEA.

5. Why does FPM choose only a sample of schools from a local educational agency?

Limitations of time and resources make necessary a selection of one or more common sites at which most of the categorical programs operate. Certain programs have a quota of annual site visits and may visit additional sites in a local educational agency (LEA).

6. Will all programs look at all sites on the schedule?

Not necessarily. The schedule lists which programs will be reviewed at the LEA level and at each site. For example, Physical Education (PE) usually reviews documentation from all common sites—even if the PE team member does not visit each one.

7. Who develops the Program Instruments?

FPM Program Instruments are developed and reviewed by CDE staff on an annual basis. Program Instruments may change from year to year to correspond with changes in federal or state law, regulations, or controlling judicial decisions. Each Program Instrument lists Desired Outcomes, Program Dimensions, and appropriate legal citations.

8. How many meeting minutes of the School Site Council (SSC) should an LEA upload?

There is not a specific number of meeting minutes. The meeting minutes uploaded must provide documentation that the SSC has met all requirements in the Program Instrument ([link to program instruments web page](#)) items. LEAs should make certain that official minutes include full descriptions of all required SSC activities.

9. What exactly does the term "finding" mean?

In FPM, a finding is a three-part statement about requirements in program items which the LEA must meet, evidence which indicates the LEA is not meeting the requirements, and the steps the LEA must take to show that it subsequently is meeting the requirements.

The official report of each FPM is the Notification of Findings.

10. What is the process for resolving findings after a review?

The LEA must submit a Proposed Resolution of Findings (PRF) form in CAIS for each finding along with supporting documentation by the deadline of 45-days after the date of the Notification of Findings. Program monitors work with LEA staff to resolve findings. The LEA may request additional resolution time through the PRF form, and the program monitor will decide whether to grant or adjust the request.

11. Does the LEA need to resolve findings only at the sites the FPM team visited or monitored online?

No. The LEA must state on each PRF Form for each finding that it will correct this finding throughout the entire LEA at all sites.

12. Is the Federal Program Monitoring (FPM) process an audit?



Please read the following BEFORE uploading your documents.

### After School Program Office CAIS Guidance

- Please do **not** provide any information that goes beyond what is required to provide evidence that you are meeting the specific requirement.
- Number all of the pages of the documents you are submitting consecutively. This may be done by hand and it is not necessary to eliminate page numbers that already exist in your documents.
- Prior to uploading, highlight the section(s) in each document that contains information relevant to the item being tested. At the beginning of the document, note the page number(s) of the highlighted sections.
- Do not submit the content of trainings and workshops (i.e., PowerPoint® slides). An agenda for the workshop that lists presenters and a statement of who attended from your organization and their role is sufficient.

### Match Requirement

**III-BASP 13. (ASES) The LEA/grantee agency operating an ASES program has obtained a local contribution of cash or in-kind local funds equal to not less than one-third of the total grant amount. Facilities or space usage may fulfill not more than 25 percent of the required local match. (EC 8483.7[a][5], 8483.75[a][4]).**

- Show where your grant match comes from by providing a list of match contributors, what the contribution was and its value (calculate amount for in-kind). Show total match value as a percent of total grant amount and clearly show the calculation of the percentage of the match that is provided by donated space and facilities (which can be no greater than 25% of the entire match).
- You may find *Making the Match: Finding Funding for After School Education and Safety Programs* useful as a reference for the categories of contributions. It is available at <http://76.12.61.196/publications/MakingTheMatch.pdf> and also provides useful information for calculating the value of in-kind contributions.
- Attach evidence (i.e., Memorandums of Understanding, volunteer documentation) supporting the entries on the list of match contributors.

**Helpful Hints from Ann Marie Smith, Director of Institute for Student Success: October 24, 2012**

**1. Observations from Hacienda-LaPuente Unified School District FPM visit the week of October 17, 2011**

- a. Staffing ratio: 1:20
- b. Students will be interviewed about what they like about the program
- c. Principal needs to include before and after school program in their opening presentation to demonstrate the partnership between the instructional day and BASP
- d. All materials need to be in primary language if there is more than 15% of families in the district that speak the language: have copies
- e. Posting evaluation results in newspapers, and inform folks how to get a copy of the results
- f. Staff (instructional day and BASP) should be able to describe the partnership between the two teams

**2. Hints on uploading documents into CAIS**

- a. Be sure the documents answer the questions; some of the required or suggested documents may not answer the question! Do not be afraid to offer other evidence- the key is the ANSWER not the number of pages you submit
- b. Program plan should be dated and include information as to the questions you are asking in your annual evaluation, and demonstrate how the answers to those questions are used to update your program and your plan
- c. Review your subcontractor contracts to insure that the rule on indirect is followed

## BOOST Presentation – April 28, 2012

Post-Evaluation: Looking Your Best For FPM

Training Date: \_\_\_\_\_ Training Site: \_\_\_\_\_

<b>Position: (select one):</b> <input type="radio"/> Grant Manager <input type="radio"/> Program Director <input type="radio"/> Site Coordinator <input type="radio"/> Front Line Staff	<b>Level(s)</b> <input type="radio"/> Elementary <input type="radio"/> Middle <input type="radio"/> High School <input type="radio"/> Other	<b>Level of Experience:</b> <input type="radio"/> 1-2 yrs <input type="radio"/> 3-4 yrs <input type="radio"/> 5 + years	<b>Employer, please list name:</b> <input type="radio"/> School District: _____ <input type="radio"/> Community Based Program : _____ <input type="radio"/> City/County: _____ <input type="radio"/> Other: _____
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1. I can state what FPM is  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
2. I can state the two methods that FPM can be conducted  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
3. I can why FPM is conducted  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
4. I can where FPM can take place  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
5. I can identify when FPM takes place  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
6. I know who participates in the FPM process  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
7. I know how to load documents into CAIS  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
8. I know the critical steps to prepare for an online FPM review  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
9. I know the critical steps to prepare for an onsite FPM review  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
10. I know how to conduct myself during a FPM review  
 Strongly Agree     Agree     Neutral     Disagree     Strongly Disagree
11. Please describe how your understanding of these topics has been enhanced and how you will Use the new information to increase the success of your program. Use back of page if needed.  
 \_\_\_\_\_  
 \_\_\_\_\_

12. What additional Technical Assistance would you like to see offered on this topic or other topics?  
 \_\_\_\_\_

13. I would just like to say: \_\_\_\_\_  
 \_\_\_\_\_

14. Please contact me: Name \_\_\_\_\_ email \_\_\_\_\_ cell \_\_\_\_\_