



Federal Programs Handbook

An Overview of Grant Programs Authorized Under the
Elementary and Secondary Education Act, as amended by
Every Student Succeeds Act



Prepared By: The Office of Federal Programs
REVISED June 2022

Table of Contents

SECTION 1: ABOUT THIS HANDBOOK.....	5
SECTION 2: OFFICE OF FEDERAL PROGRAMS	5
OVERVIEW	5
CONTACT LIST BY PRC.....	6
SPECIALTY AREA/ SECONDARY CONTACTS	9
REGIONAL MAP	10
SECTION 3: COMPREHENSIVE CONTINUOUS IMPROVEMENT PLAN	10
OVERVIEW	10
GENERAL SUBMISSION REQUIREMENTS.....	12
ASSURANCES AND PRAYER CERTIFICATION	12
STAKEHOLDER CONSULTATION	13
COMPREHENSIVE NEEDS ASSESSMENT.....	13
GOALS AND STRATEGIES	13
PROGRAM SPECIFIC WORKSHEETS	14
RESOURCES	14
SECTION 4: PRIVATE SCHOOL CONSULTATION AND EQUITABLE SERVICES	14
OVERVIEW	14
RESOURCES AND INFORMATION.....	15
SECTION 5: FISCAL PROCEDURES	15
OVERVIEW	15
UNIFORM GRANT GUIDANCE	15
ALLOCATIONS FOR FEDERAL PROGRAMS	16
BUDGETS	16
BUDGET AMENDMENTS	18
TIME AND EFFORT RECORDS	18
INTERNAL CONTROLS.....	21
METHODS OF PROCUREMENT	24
SUSPENSION AND DEBARMENT	27
RESOURCES	28
FISCAL MONITORING REVIEWS.....	28
SECTION 6: DATA COLLECTION AND REPORTING	29
FEDERAL PROGRAM MONITORING DATA COLLECTION SCHEDULE.....	30
SECTION 7: MONITORING.....	31
OVERVIEW	31
PROGRAM MONITORING REVIEWS.....	32
CONSOLIDATED FOUR YEAR MONITORING CYCLE SCHEDULE	33
ESSER FOUR YEAR MONITORING CYCLE SCHEDULE	38
SECTION 8: FEDERAL PROGRAM MONITORING AND SUPPORT YEAR AT A GLANCE.....	41
OVERVIEW	41
SAMPLE CALENDAR.....	41
SECTION 9: APPENDICES.....	45
APPENDIX 1: GLOSSARY OF GENERAL TERMS AND ACRONYMS	45
APPENDIX 2: ALLOWABILITY CHECKLIST FOR FEDERAL PROGRAMS.....	52
APPENDIX 3: CHECKLIST/ STEP BY STEP GUIDE TO SUBMITTING AN EFFECTIVE CONSOLIDATED APPLICATION	53
APPENDIX 4: TITLE I, PART A.....	56

<i>Overview</i>	<i>56</i>
<i>Supplement, Not Supplant</i>	<i>56</i>
<i>Comparability.....</i>	<i>56</i>
<i>Community Eligibility Provision</i>	<i>56</i>
<i>Parent and Family Engagement.....</i>	<i>57</i>
<i>School-Parent Compact.....</i>	<i>58</i>
<i>Parents Right-To-Know</i>	<i>59</i>
<i>Local Equity Plan</i>	<i>60</i>
<i>Homeless Education</i>	<i>60</i>
<i>Foster Care Provisions</i>	<i>61</i>
<i>Title I Preschool Program</i>	<i>62</i>
<i>Title I and Education of Migrant Children and Youth</i>	<i>63</i>
<i>Title I and Neglected, Delinquent, or At-Risk Youth</i>	<i>63</i>
<i>Carryover Limitation.....</i>	<i>64</i>
<i>Title I Schoolwide Plan Requirements</i>	<i>65</i>
<i>NCDPI Federal Programs Allowable and Unallowable Costs Expenditure Guidance.....</i>	<i>67</i>
BUDGETING CODES.....	71
<i>Types of Title I Programs.....</i>	<i>72</i>
<i>Title I Set Asides.....</i>	<i>72</i>
<i>Resources</i>	<i>72</i>
APPENDIX 5: TITLE I, PART C.....	73
<i>Overview</i>	<i>73</i>
<i>Identification of Students.....</i>	<i>73</i>
<i>Use of Funds.....</i>	<i>73</i>
<i>Resources</i>	<i>74</i>
APPENDIX 6: TITLE I, PART D.....	74
<i>Overview</i>	<i>74</i>
<i>Subpart 1 Use of Funds</i>	<i>75</i>
<i>Subpart 2 Use of Funds</i>	<i>75</i>
<i>Program Evaluations for Subpart 1 and 2.....</i>	<i>76</i>
<i>Resources</i>	<i>76</i>
APPENDIX 7: TITLE II, PART A.....	77
<i>Overview</i>	<i>77</i>
<i>Use of Funds.....</i>	<i>77</i>
<i>Resources</i>	<i>78</i>
APPENDIX 8: TITLE III, PART A.....	78
<i>Overview</i>	<i>78</i>
<i>Identification of English Learners.....</i>	<i>78</i>
<i>Use of Funds.....</i>	<i>79</i>
<i>Resources</i>	<i>79</i>
APPENDIX 9: TITLE IV, PART A.....	80
<i>Use of Funds.....</i>	<i>80</i>
<i>Title IV-A Carryover</i>	<i>81</i>
<i>Resources</i>	<i>81</i>
APPENDIX 10: TITLE IV, PART B.....	81
<i>Overview</i>	<i>81</i>
<i>Use of Funds.....</i>	<i>81</i>
<i>Resources</i>	<i>82</i>
APPENDIX 11: TITLE V, PART B, SUBPARTS 1 & 2.....	82
<i>Overview</i>	<i>82</i>
<i>Use of Funds.....</i>	<i>82</i>
<i>Resources</i>	<i>83</i>
APPENDIX 12: HOMELESS EDUCATION – MCKINNEY VENTO.....	83
<i>Overview</i>	<i>83</i>
<i>Identification of Students.....</i>	<i>83</i>

<i>Use of Funds</i>	84
<i>Resources</i>	85
APPENDIX 13: BRAIDING FUNDING SOURCES TO FUND INITIATIVES	86
<i>MTSS</i>	86
<i>Professional Learning</i>	87
<i>Literacy</i>	88
<i>Attendance</i>	89
ESSER ADDENDUM	90
<i>Overview</i>	90
<i>Use of Funds</i>	90
<i>Resources</i>	93

SECTION 1: ABOUT THIS HANDBOOK

The *Federal Programs Handbook* is intended to provide a general overview of the federal programs authorized under the Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA). If contradictions are found between this document and the regulations and guidance outlined in the ESEA, as amended by the ESSA, regulations and guidance provided by the U.S. Department of Education (USED) take priority and authority. This handbook is subject to change at any time given updates in federal or state legislation or guidance.

PSUs are responsible for local program implementation. This resource should be used in conjunction with applicable guidance provided on USED's website (www.ed.gov). Any questions not addressed in the handbook should be directed to an assigned North Carolina Department of Public Instruction (NCDPI) Program Administrator within the Federal Program Monitoring and Support Division.

NOTE: In North Carolina, public charter schools operate independently of other local school administrative units. Except where otherwise noted, in most sections of this document the term "PSU" refers to both local school administrative units, Lab schools, and public charter schools.

SECTION 2: Office of Federal Programs

Overview

The North Carolina Department of Public Instruction (NCDPI), provides oversight to all PSUs. The Office of Federal Programs (OFP) at DPI supports over \$600,000,000 in federal funds provided to PSUs each year. The primary role of OFP is to provide grants administration, program monitoring, data collection and reporting. The goal of OFP is to facilitate the necessary technical assistance to ensure not only compliance, but quality programs for students.

How can we help?

The staff of the Federal Program Monitoring and Support Division provides oversight for several programs and initiatives that contribute to the success of students in North Carolina each year.

Federal Grant Programs (authorized under the ESEA as Amended under the ESSA) *

- Title I, Part A (Improving Basic Programs)
 - Comprehensive Support and Improvement
 - Targeted Support and Improvement
 - Innovative Partnership Grants
- Title I, Part C (Education of Migratory Children and Youth)
- Title I, Part D (Neglected, Delinquent, and At-Risk Youth)
- Title II, Part A (Supporting Effective Instruction)

- Title III, Part A (English Language Acquisition)
- Title IV, Part A (Student Support and Academic Enrichment)
- Title IV, Part B (21st Century Community Learning Centers)
- Title V, Part B, Subpart 2 (Rural Low-Income Schools)
- Title VII, Subpart B (McKinney-Vento Homeless Education Program)

****NOTE: Program titles have been abbreviated for the purposes of this document***

Federal Initiatives

- Foster Care Education
- Innovative Partnership Grants (IPG)
- National ESEA Distinguished Schools Program
- Federal Teacher Loan Forgiveness Program
- Comparability Reporting
- Annual Prayer Certification
- Education Flexibility Partnership Act (Ed-Flex Authority)
- 21st CCLC Federal Data Collection System (21DC)
- Migrant Student Interstate Exchange Initiative (MSIX)
- 21 Annual Performance Report (21APR)
- Committee of Practitioners (COP)
- Section 504
- Early Childhood Program
- Parent and Family Engagement
- Private School Equitable Services

State Initiatives

- NCStar - School Improvement Planning
- Extended Learning and Integrated Student Supports Competitive Grants Program

Contact List by PRC (up-to-date as of 4/10/2022; access the online version with continuous updates [HERE](#))

ESSA Consolidated	Federal Programs Contacts East	Federal Programs Contacts West
PRC 050 PRC 051 PRC 103 PRC 104 PRC 108 PRC 109 PRC 111	North Central Pauletta Thompson Pauletta.Thompson@dpi.nc.gov Northeast Shawna Andrews Shawna.Andrews@dpi.nc.gov Southeast Julie Hill Julie.Hill@dpi.nc.gov Sandhills Laura Popp Laura.Popp@dpi.nc.gov	Piedmont-Triad Masa Kinsey-Shipp Masa.Kinsey-Shipp@dpi.nc.gov Southwest Tim Dryman Tim.Dryman@dpi.nc.gov Northwest Jennifer Smith Jennifer.Smith@dpi.nc.gov Western Paul Perrotta Paul.Perrotta@dpi.nc.gov
PRC 105 (CSI) PRC 115 (IPG) PRC 117 (SIG)	Tenisea Madry Tenisea.Madry@dpi.nc.gov	James Popp James.Popp@dpi.nc.gov
PRC 107	Laura Popp - Laura.Popp@dpi.nc.gov Nick Anderson - Nick.Anderson@dpi.nc.gov	

ESSER I	Federal Programs Contacts East	Federal Programs Contacts West
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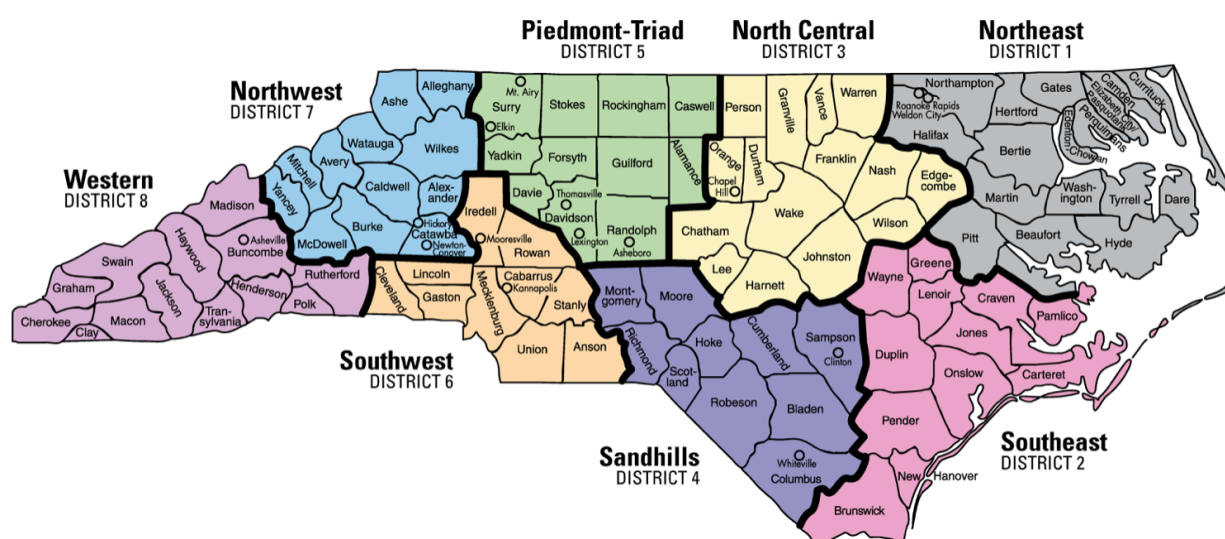
ESSER III State Reserve PRCs (Continued)	Federal Programs Contacts (Continued)	
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Specialty Area/ Secondary Contacts

Area of Support	Contact	Contact
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Teacher Loan Forgiveness	Allie.Evans @dpi.nc.gov	Erin.Lewis @dpi.nc.gov
Equitable Services	Talbot.Troy @dpi.nc.gov	Alex.Charles @dpi.nc.gov
Section 504	Freda.Lee @dpi.nc.gov	Julie.Hill @dpi.nc.gov
Disaster Relief Funds	Alex.Charles @dpi.nc.gov Tina.Letchworth @dpi.nc.gov	Paul.Perrotta @dpi.nc.gov
NCGrants	Richard.Trantham @dpi.nc.gov Melba.Strickland @dpi.nc.gov	Jennifer.Smith @dpi.nc.gov
REAP (RLIS & SRSA)	Jennifer.Smith @dpi.nc.gov	Julie.Higdon@dpi.nc.gov
Comparability Reports	Masa.Kinsey-Shipp@dpi.nc.gov	Shawna.Andrews @dpi.nc.gov
Equity Plans	Pauletta.Thompson @dpi.nc.gov	Damesha.Smith @dpi.nc.gov
Distinguished Schools	James.Popp @dpi.nc.gov	Tenisea.Madry @dpi.nc.gov
Parent & Family Engagement	Paul.Perotta @dpi.nc.gov	Laura.Popp @dpi.nc.gov
Title II	Julie.Hill @dpi.nc.gov	Allie.Evans @dpi.nc.gov
Title III	Shawna.Andrews @dpi.nc.gov	Pauletta.Thompson @dpi.nc.gov

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Regional Map



SECTION 3: COMPREHENSIVE CONTINUOUS IMPROVEMENT PLAN

Overview

Each PSU should develop a comprehensive district plan to ensure that federal funds, used as a whole, accomplish the overall goals and objectives of the district. PSUs apply for their Federal funds through a consolidated application process to DPI. The application requires PSUs to identify the methods through which the intent and purpose(s) of each Federal program will be integrated into the PSUs' existing academic achievement targets and efforts towards continuous improvement. Responses as to how the PSU will meet Federal program requirements, as defined in ESSA, are submitted into a consolidated application through the lens of the PSUs' ability to use multiple federal resources to solve problems of student learning. Where unique and targeted Federal funding streams exist (e.g., homeless, migrant, and rural), PSUs must expand on the identified needs for these populations or schools within the applicable sections of a consolidated application. This may require PSUs to delve more deeply into the root causes of the academic deficiencies of schools and populations.

NOTE: For public charter schools and Lab schools, the comprehensive plan should be developed at the school level.

To assist PSUs with plan development, DPI utilizes a web-based planning and grants management system, the Comprehensive, Continuous Improvement Plan (CCIP). CCIP consists of a Funding Application for each Title received within the consolidated shell. The Funding application contains the needs assessment, goals, and strategies, action steps and budget amounts for all grants the PSU receives. The Funding Application(s) contain a budget, nonpublic services, and other related pages. The budget will be submitted into the pre-BAAS program by the PSU, this budget will populate into CCIP automatically.

The goals of using CCIP are to:

- Reduce the administrative burden placed on organizations (PSUs and non-PSUs) when applying for grant funding.
- Increase transparency of grant activities to ensure funds are spent in accordance with federal and state guidelines.
- Develop one project that will consolidate the planning and application process to reduce duplication of information across the state.

CCIP may be utilized to apply for federal funds as part of a Consolidated Funding Application as well as Competitive Funding Applications as follows:

- Consolidated Funding Application
 - Title I-A (PRC 050)
 - Comprehensive Support and Improvement (CSI-PRC 105)
 - Title I-C (PRC 051)
 - Title I- D, Subpart 1 (PRC 047)
 - Title I-D, Subpart 2 (PRC 107)
 - Title II (PRC 103)
 - Title III-Language Acquisition (PRC 104)
 - Title III-Significant Increase (PRC 111)
 - Title IV-A (PRC 108)
 - Title V – RLIS (PRC 109)
- Competitive Funding Applications
 - McKinney-Vento
 - 21st Century Community Learning Centers (21st CCLC)
 - Extended Learning and Integrated Student Support (ELISS)

The Division provides trainings for CCIP throughout the year. Additional information including User Guides and Frequently Asked Questions regarding CCIP are available to the public and are accessible at: [CCIP Homepage](#). If you need assistance between the offered trainings, please contact your [Regional Program Administrator](#).

General Submission Requirements

A User Access Administrator (UAA) account must be established to allow local staff to enter plan components and the funding application on CCIP. To establish a UAA account, email Anita Harris at anita.harris@dpi.nc.gov and provide the following information:

- First and Last Name
- NCID Username (not password)
- Phone number (format xxx-xxx-xxxx)

The following outlines the general sequence of steps to submit the Consolidated Funding Application through CCIP:

1. Conduct Equitable Service Consultation (February – May)
2. Submit ESSR data in Power School for Title I, Part A component. (May-July)
3. Submit required information for Comprehensive Needs Assessment and Goals and Strategies in funding application Consolidated Related Documents. (June-September)
4. Submit applicable program budgets to DPI through the Pre-Budgeting and Amendment System (BAAS) platform. The submitted budget will populate the **Budget Details** page in CCIP. Title I school allocations must reflect school location codes in district budget. (June-September)
5. Enter required information in each section of the Consolidated Funding Application. (June-September)
6. Ensure that all program areas in which an allotment was received have a completed funding application in CCIP. (June-September)
7. Once all errors have been cleared, submit the application through the appropriate approvals: (June-September)
 - a. Draft Completed
 - b. Fiscal Representative Approved
 - c. Chief Administrator Approved
8. Create and submit Equity plan and Comparability Report (November-December)

Any changes to the plan during or after an approval process require the application to be resubmitted.

All **Related Documents** must be uploaded into the CCIP either in the Consolidated Related Documents section or the Related Documents section for each federal grant for which the PSU is eligible. Please note that some documents are **required** while others may be **optional** depending on how the PSU determines its federal funds will be used.

Assurances and Prayer Certification

Sec. 8306 of the ESEA as amended by the ESSA requires that PSUs shall have on file with the State educational agency a single set of assurances, applicable to each program for which a plan or application is

submitted. Each PSU will acknowledge general assurances addressing all federal programs and specific program assurances where an allocation is received.

In addition, Sec. 8524 of the ESEA as amended by the ESSA requires that, as a condition of receiving ESEA funds, a sub-grantee or sub-recipient must certify in writing to its state educational agency (SEA) that it has no policy that prevents, or otherwise denies, participation in constitutionally protected prayer in public schools.

The Single Set of Assurances and Prayer Certification is available in a single template in CCIP. The local Superintendent will review and complete this certification and upload the document into the Consolidated Related Documents section of CCIP.

Stakeholder Consultation

The Consolidated Planning Tool and Funding Application must be developed with timely and meaningful consultation with teachers, principals, other school leaders, paraprofessionals, specialized instructional support personnel, charter school leaders (in a local educational agency that has charter schools), administrators (including administrators of programs described in other programs authorized under the ESEA), other appropriate school personnel, and with parents of children in schools served under this part. The stakeholder consultation should guide the creation of the Comprehensive Needs Assessment (CNA), Goals, and Plan Relationships. In addition, plans must be developed in consultation with private school officials as required under section 1117 and 8501 of the ESEA, as amended by the ESSA. For more information on private school consultation requirements, refer to the [Private School Consultation and Equitable Services](#) section.

NOTE: The PSU creates a plan based on a planning allotment. This amount is not the “actual” allotment. PSUs should be aware that there may be an increase or decrease in the planning vs. actual allotments.

Comprehensive Needs Assessment

The consolidated plan must be developed based on a district-wide Comprehensive Needs Assessment (CNA). The CNA is a systematic analysis of data from several dimensions (i.e., student achievement, demographics, perceptions, and school processes). Based on the analysis of this data, the district must create a prioritized list of needs. The needs identified will be used to create goals the district will seek to achieve using federal funds.

This process is required for both the school and district level; however, only the district CNA is required to be included in CCIP. An optional district CNA template can be found in the document library of CCIP and is available through [NCStar](#).

Goals and Strategies

After the district has completed the Comprehensive Needs Assessment (CNA) and the prioritized needs, local staff will begin developing their annual goals and strategies. These goals and strategies must be directly linked to the prioritized needs of the PSU and should be measurable (SMART goals) to

demonstrate that the strategies being implemented by the district are working, not in general, but specifically in the schools within the district, and there is data to support their success.

Fiscal resources matching the goals and strategies must be checked off on the document based on the district CNA. All consolidated funding sources must be identified in the goals and strategies document. If you need assistance matching fiscal resources to goals and strategies, please contact your Regional Program Administrator.

NOTE: Under the ESSA, there is a general transition away from “scientifically researched-based” strategies to “evidence-based” activities, strategies, and interventions (collectively referred to as “interventions”). For more information on evidence-based interventions, see Appendix A of the [Non-Regulatory Guidance for Title II, Part A](#).

Program Specific Worksheets

Some programs require data unique to their legislation and the Consolidated Application houses these data requirements. For example, Title I, Part A requires rank order of schools based on poverty percentages. This requirement is not required by other programs.

In addition, some programs require other data to be submitted unique to their legislation. The Consolidated Funding Application allows these data to be uploaded in the applicable program sections within CCIP. For example, Title I, Part A of the ESEA, as amended under the ESSA requires that states and school systems ensure that low-wealth, minority, learning disabled and/or English language learners are taught by effective, experienced teachers who have met all state licensing requirements to the same extent as are students who do not fall into these categories. PSUs must develop and upload into CCIP an Equity Plan that describes how the PSU will accomplish this requirement.

For program specific requirements, refer to the [Appendices](#) of this document.

Resources

- [ESSA Dear Colleague Letter on Tribal Consultation](#) (September 26, 2016)
- [Documents Library of CCIP](#)

SECTION 4: PRIVATE SCHOOL CONSULTATION AND EQUITABLE SERVICES

Overview

School districts receiving funds under the Elementary and Secondary Education Act (ESEA) are required to notify private schools of the availability of equitable services and to invite them to a consultation at which they may decide whether to participate in services. No funds are provided to

participating schools. Instead, the districts implement programs to meet identified needs at the private schools. The ESEA grants that are affected by these requirements are:

- Title I-A for economically disadvantaged schools
- Title I-C for migrant education
- Title II-A for teacher and school leader improvement
- Title III-A for English learners and immigrant students
- Title IV-A for enrichment, technology and school safety
- Title IV-B for afterschool programs

Resources and information

To assist districts in fulfilling these requirements, the [DPI Equitable Services web page](#) offers details about the following topics:

- offering consultation and maintaining proper documentation of these efforts
- identifying needs and implementing services
- district control of all budgetary actions
- determining a proportionate share of funds available to pay for equitable services
- suggested timelines and deadlines for initiating consultation and finalizing services

The completion of the *Affirmation of Notification, Invitation and Consultation* forms, which must be submitted in CCIP as part of the application for the consolidated program, are key requirements. Templates for these forms are provided to school district directors during the winter just prior to the period during which consultations will take place. Directions are included on the form and on the [DPI Equitable Services web page](#).

Other resources on the [DPI Equitable Services web page](#) include DPI contact information, timely updates, recorded webinars, guidance from USED, a list of Frequently Asked Questions and the official directory of private schools to be notified annually within each district.

SECTION 5: FISCAL PROCEDURES

Overview

General fiscal guidelines apply to all federal grants that DPI administers and as such, all local finance officers and program directors should be familiar with them. The [Fiscal Guidance](#) document was designed by the School Finance Division at DPI to assist PSUs and other subgrantees in administration of federal grants.

Uniform Grant Guidance

Regulations from the Office of Budget and Management (OMB), codified as [Title 2 of the Code of Federal Regulations \(2CFR\) Part 200](#), govern all federal grants awarded by the USED to the state or to PSUs and other subrecipients awarded on or after December 26, 2014. Refer to the page for details on Uniform

Grant Guidance (UGG) and the revised [Education Department General Administrative Regulations \(EDGAR\)](#).

Allocations for Federal Programs

The U.S. Department of Education (USED) provides official formula-based allocations to states by July 1st of each year for most federal programs. Once received by DPI, each federal program follows its specific procedures outlined in the Allotment Policy Manual (APM), to determine allocations to subgrantees in North Carolina. Policies in the APM, which can be accessed on the [NCDPI Allotments Page](#), were developed by DPI and approved by the SBE to comply with all applicable regulations for each federal program.

The School Finance Division presents these allocations to the SBE as soon as they are available, typically in July and August, for review and approval. Based on these allocations, PSUs will create budgets that will be integrated into their application for funds. Once the applications and budgets are approved in the CCIP system, each PSU will receive official grant award notices (GANs). Please note that GANs must be maintained on file at the local level for audit reviews.

To support PSUs with planning efforts before official formula-based allocations are received from USED, NCDPI will create an estimated allocation spreadsheet that includes all PSUs and programs for which preliminary estimates are feasible. These estimates are based on preliminary allocation information posted by USED during the months leading up to final allocations in July or August. PSUs are encouraged, but not required, to use these estimates. Planning allotments are uploaded into BAAS prior to the application opening in the June timeline.

Budgets

PSUs work with approved third-party vendors to post budgets and to account for program expenditures by object and purpose code, to electronically interface with the Budget and Amendment Approval System (BAAS), which is managed by NCDPI. The BAAS system is connected to NCDPI's Cash Management System, which in turn, is connected to the NC Department of the State Treasurer. Transactions in BAAS generate a report which automatically feeds entries to the external General Ledger (GL) and North Carolina Accounting System (NCAS). The NCDPI Cash Management Section then draws the funds down from the State Treasurer account according to the NCAS and GL data. The PSUs accounting systems are automatically linked to BAAS to track their approved use of state and federal funds which pass through NCDPI. Budgets must be submitted to BAAS using the Uniform Chart of Accounts (COA). The submitted budget will take 24-48 hours to become visible in BAAS. Once the initial budget has been recognized by BAAS, it will populate into the budget section of CCIP.

In some districts, Title I/ Federal Program Directors enter budgets into the PSU budgeting system, while in others the budgets may be submitted by the Finance Officer or outside finance agency. It is important that program and finance staff work together to determine when budgets are submitted and the process for communicating any changes that may occur during the year.

The Division of School Business at DPI assigns all funding streams (whether federal, state, or local) to a unique Program Report Code (PRC). Federal funds must be budgeted in PRCs assigned to each program as follows:

Program	Description	PRC
Title I, Part A	Improving Basic Programs	050
Title I, Part C	Education of Migratory Children and Youth	051
Title I, Part D, Subpart 1	Neglected, Delinquent, and At-Risk Youth (State Agencies ONLY)	047
Title I, Part D, Subpart 2	Neglected, Delinquent, and At-Risk Youth (PSUs)	107
Title II, Part A	Supporting Effective Instruction	103
Title III, Part A	English Language Acquisition	104
Title III, Part A	Significant Increase	111
Title IV, Part A	Student Support and Academic Enrichment	108
Title IV, Part B	21st Century Community Learning Centers	110
Title V, Part B, Subpart 2	Rural Low-Income Schools	109
Title VII, Subpart B	McKinney-Vento Homeless Education Program	026
CSI	Comprehensive Support and Improvement	105
IPG	Innovative Partnership Grant	115
SIG	School Improvement Grant	117
ELISS	Extended Learning and Integrated Student Support	175

Each PRC has a unique [Chart of Accounts](#) (COA) to document which purpose or object codes in the budget system represent allowable expenditures according to the requirements of that particular funding source. The account code structure consists of four dimensions. The dimensions and descriptions are as follows:

- 1) Fund Code - consists of one numeric digit. The fund is an independent fiscal accounting entity with a self-balancing set of accounts. (e.g., federal fund code is 3).
- 2) Purpose Code - consists of four numeric digits and describes the purpose for which the activity exists or the type of balance sheet account. (e.g., Instructional Services code is 5000).
- 3) Program Report Code (PRC) - consists of three numeric digits. The program report code describes the funding for each activity, classifying expenditures by program to determine cost. (e.g., PRC 110 for 21st CCLC awards; PRC 050 for Title I, Part A awards).
- 4) Object Code - consists of three numeric digits. The object is the service or commodity obtained as the result of a specific expenditure. (e.g., Teacher's Salary Certified/Licensed is code 121; Supplies and Materials is code 411).

Fund Code	Purpose Code	PRC	Object Code	Site Code	PSU Designated Code	
3	5330	050	411	000	XXX	

Sub-recipients may request additional object and/or purpose codes for division management to consider by completing the [Chart of Accounts Revision Request Form](#).

NOTE: All budgets must be submitted under approved account codes in the COA.

Budget Amendments

Budget amendments/revisions (changes to the budget) can be submitted anytime during the approved grant period. Budget amendment approvals are completed in BAAS. Budget amendments along with appropriate justification narrative submitted in the budgeting system will be reviewed and approved by Program Administrators, who will verify that the request meets the requirements of the grant. Please note, detailed justifications provided in budget amendments are required.

In general, federal funds may be used only to cover costs that (1) comply with the approved grant application and budget (allowable use) and (2) are reasonable and necessary for the proper and efficient performance and administration of the grant. *“A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.”* ([EDGAR 2 CFR Part §200.404](#)).

Throughout the year, PSUs should submit ongoing budget amendments to ensure resources are allocated to support high student achievement. Budgets and budget amendments are processed in the order they are received by Federal Program Administrators.

If a PSU makes a substantial change in their budget, the application in CCIP must be updated to reflect the changes and submitted prior to approval. Please contact your regional Program Administrator prior to placing a change comment in CCIP.

NOTE: Budget amendments must be submitted periodically to ensure that no current budget exceeds more than 10% of actual expenditures.

Time and Effort Records

Compensation for personal services, 2 CFR 200.430, by an individual employed by the PSU includes all remuneration, paid currently, or accrued, for services of employees rendered during the period of performance under the Federal award, including but not necessarily limited to wages and salaries. Compensation may also include fringe benefits. Costs of compensation are allowable to the extent that they satisfy the specific requirements noted below and that the total compensation for individual employees:

- Is reasonable for the services rendered and conforms to the established written policy of the non-Federal entity consistently applied to both Federal and non-Federal activities.
- Follows an appointment made in accordance with the non-Federal entity's laws or written policies.
- Is determined and supported by appropriate documentation.

Uniform Guidance no longer explicitly requires semi-annual certifications or personnel activity reports (PARs) as support for compensation expenses. PSUs may continue to use their current internal control system of semi-annual certifications, PAR reports, or approved substitute systems but are not required to use these controls. If a PSU decides not to use semi-annual certifications or PAR reports, the PSU is still required to maintain auditable "time and effort" documentation that describes how each employee, paid in part or whole from federal funds, has spent his or her compensated time. 2 CFR 200.430i requires the following as *Standards for Documentation of Personnel Expenses*:

(1) Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must:

- (i) Be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable, and properly allocated;
- (ii) Be incorporated into the official records of the non-Federal entity;
- (iii) Reasonably reflect the total activity for which the employee is compensated by the non-Federal entity, not exceeding 100% of compensated activities (for IHE, this per the IHE's definition of IBS);
- (iv) Encompass federally-assisted and all other activities compensated by the non-Federal entity on an integrated basis, but may include the use of subsidiary records as defined in the non-Federal entity's written policy;
- (v) Comply with the established accounting policies and practices of the non-Federal entity (See paragraph (h)(1)(ii) above for treatment of incidental work for IHEs.); and
- (vi) [Reserved]
- (vii) Support the distribution of the employee's salary or wages among specific activities or cost objectives if the employee works on more than one Federal award; a Federal award and non-Federal award; an indirect cost activity and a direct cost activity; two or more indirect activities which are allocated using different allocation bases; or an unallowable activity and a direct or indirect cost activity.
- (viii) Budget estimates (i.e., estimates determined before the services are performed) alone do not qualify as support for charges to Federal awards, but may be used for interim accounting purposes, provided that:
 - (A) The system for establishing the estimates produces reasonable approximations of the activity actually performed;
 - (B) Significant changes in the corresponding work activity (as defined by the non-Federal entity's written policies) are identified and entered into the records in a timely manner. Short term (such as one or two months) fluctuation between workload categories need not be considered if the distribution of salaries and wages is reasonable over the longer term; and
 - (C) The Non-Federal entity's system of internal controls includes processes to review after-the-fact interim charges made to a Federal award based on budget estimates. All necessary adjustment must be made such that the final amount charged to the Federal award is accurate, allowable, and properly allocated.

(ix) Because practices vary as to the activity constituting a full workload (for IHEs, IBS), records may reflect categories of activities expressed as a percentage distribution of total activities.

Time and Effort Supporting Documentation Examples (using Semi-Certifications and PARs)

Cost Objective	Criteria	Supporting Documentation Examples
Single Cost Objective	<ul style="list-style-type: none"> Employee works solely on a single Federal award or cost objective. 	<ul style="list-style-type: none"> Semi-annual certification Signed after-the-fact by the employee or a supervisory official having firsthand knowledge of the work performed by the employee.
Multiple Cost Objectives	<ul style="list-style-type: none"> More than one Federal award; Federal award & non-Federal award; Indirect cost activity & direct cost activity; Two or more indirect activities that are allocated using different allocation bases; or Unallowable activity & a direct or indirect cost activity 	<ul style="list-style-type: none"> Personnel activity reports (PAR) Reflect an after-the-fact distribution of the actual activity of the employee; Account for the total activity for which each employee is compensated; Be prepared at least monthly & coincide with one or more pay periods; and Signed after-the-fact by the employee & a supervisory official having firsthand knowledge of the work performed by the employee.
Multiple Cost Objectives with Fixed Schedule (Substitute System)	<ul style="list-style-type: none"> Currently work on a schedule that includes multiple activities or cost objectives that must be supported by monthly personnel activity reports; Work on specific activities or cost objectives based on a predetermined schedule; and Not work on multiple activities or cost objectives at the exact same time on their schedule. 	<ul style="list-style-type: none"> Substitute System Indicate the specific activity or cost objective that the employee worked on for each segment of the employee's schedule; Account for the total hours for which each employee is compensated during the period reflected on the employee's schedule; and Be certified at least semi-annually & signed by the employee & a supervisory official having firsthand knowledge of the work performed by the employee.

Stipend and Extra Duty Pay	<ul style="list-style-type: none"> • Pay for extra work beyond an employee's regular contract 	<ul style="list-style-type: none"> • Written Agreement • Indicates the extra work to be performed; • Date(s) of performance; • Amount to be paid to the employee; and • Signed by the employer & the employee to show the acceptance of the terms; AND • Semi-annual Certification, PAR, or other documentation that substantiates the time worked;
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Internal Controls

PSUs must establish and maintain effective fiscal control and fund accounting procedures (i.e., internal controls) for federal funds in accordance with the [Code of Federal Regulations 2 CFR 200.303](#). Internal controls can be defined as a process, implemented by a PSU designed to provide reasonable assurance regarding the achievement of objectives in the following categories: effectiveness and efficiency in operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations (2 CFR §200.1). Per Government Accountability Office's (GAO) *Standards for Internal Control in the Federal Government (the "Green Book")*, internal controls are comprised of the plans, methods, policies, and procedures used to fulfill the mission, strategic plan, goals, and objectives of the entity. Internal control serves as the first line of defense in safeguarding assets. In short, internal control helps managers achieve desired results through effective stewardship of public resources.

These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States or the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO). Internal controls over the Federal award must provide reasonable assurance that the PSU is compliantly managing the Federal award. Internal controls also help reduce fraud, waste, and abuse in the use of Federal funds. PSUs must adequately safeguard all assets and assure that they are used solely for authorized purposes.

The PSU must implement internal controls to address various areas identified in the Uniform Guidance. Table 1, the required areas for which internal controls need to be implemented. While the internal controls in Table 1 do not need to be documented; addressing the topics in writing may reduce the risk of not adhering to the requirements.

Table 1: Required Internal Controls

Internal Control	Authorizing Citation
Accounting Records Reconciliation Reporting	Accounting Records – 2 CFR §200.302(b)(3) Reconciliation– 2 CFR §200.302(b)(5) Reporting – 2 CFR §200.302(b)(2)
Basic Considerations	2 CFR§200.402-411
Contract Oversight	2 CFR §200.318(b)
Drawdown Procedures	2 CFR §200.305(b)(3)
Expenditure Authorization by Program	2 CFR§200.303
General Provisions for Selected Items of Cost	2 CFR§200.420-476
Period of Performance	2 CFR 200.309, 200.403(h); 34 CFR §76.707
Records Retention	2 CFR §200.334, 200.335; 34 CFR §81.31(c)
Source Documentation	2 CFR §§200.302(b)(3), 200.403(g)
Supplement Not Supplant	ESSA, IDEA
Suspension and Debarment	2 CFR §200.212, 2 CFR Part 180

Internal Controls & Written Policies and Procedures

As defined by the GAO, written policies and procedures are one form of internal control. Some written policies and procedures are required, see Required Internal Control and Written Policy and Procedure chart below, and others are recommended as a best practice. Some written policies and procedures are captured in PSU board policies and some are documented in the PSU’s internal written procedures. Written policies and procedures governing the PSU implementation of federal grants should be reviewed routinely and revised as needed. If, while monitoring and audits, a revision of internal controls is required, PSUs must take prompt action.

As a best practice, written procedures for financial management should address:

- PSU accounting system(s)
- How budgets are loaded onto the system
- Process for comparing budgets to expenditures
- Process for drawing down funds
- Process and authorizations for budget revisions
- Period of performance and when obligations are made
- Process for carryover

- Process for completing reports
- Incorporation of state agency requirements, as applicable

Uniform Guidance requires written policies and procedures for some areas as noted in the table 2 below.

Table 2: Written Policy and Procedure Chart:

Required Internal Control	Requirement	Authorizing Citation
Cash Management	Written Procedures that minimize the time elapsing between the transfer of funds and disbursement by the non-Federal entity, and financial management systems that meet the standards for fund control and accountability as established in 2 CFR 200.305.	§200.302(b)(6), §200.305
Allowability	Written Procedures for determining the allowability of costs in accordance with subpart E of this part and the terms and conditions of the Federal award.	§200.302(b)(7)
Equipment Management	Written Procedures for managing equipment must meet the following requirements (summarized): (1) Property records must be maintained that include a description of the property, a serial number or other identification number, the source of funding, who holds title, the acquisition date, and cost, percentage of Federal participation in the project costs, the location, use and condition of the property, and any ultimate disposition data. (2) A physical inventory every two years. (3) Safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated. (4) Adequate maintenance procedures. (5) Proper sales procedures, if applicable.	§200.313(d)
Conflict of Interest	Written Standards of Conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award, and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest. ... The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-Federal entities may set standards for situations in which	§200.318(c)

	the financial interest is not substantial, or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions.	
Procurement (Specific levels described in §200.67, §200.88, §200.320 – subject to change.)	Written Procedures for procurement transactions. These procedures must ensure that all solicitations: (1) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description must not, in competitive procurements, contain features which unduly restrict competition.... (2) Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.	§200.319(d)
Procurement: Competitive Proposals	Written Method for conducting technical evaluations of the proposals received and making selections.	§200.320(e)(2)(ii)
Compensation– Personal Services (Time and Effort, Stipends, Bonuses etc.)	Written Policy to address whether compensation and allowability of costs of compensation are allowable including procedures to determine if the cost is reasonable for the services rendered and conforms to the established written policy of the non-Federal entity. Policy must be consistently applied to both Federal and non-Federal activities.	§200.430(a)(1)
Travel	Written Travel Policy to cover costs incurred by employees and officers for travel normally allowed by the non-Federal entity in its regular operations.	§200.474(b)

Methods of Procurement

Procurement transactions (purchases) of both goods and services must be conducted in a manner to provide open and free competition. Procurement transactions must consider price, quality, service, and other factors important to the subgrantee as set out in the Uniform Guidance in 2 CFR § 200.218-200.227.

Procurement Requirements Using Federal Funds for Services and Goods*

Procurement Method	Goods	Services
Micro-Purchase - No required quotes; however, must consider price as reasonable, and, to the extent practical, distribute equitably among suppliers	\$10,000 or less Must use more restrictive \$10,000 federal threshold unless PSU self-certifies a higher micro-threshold. See self-certification section below.	\$10,000 or less
Small Purchase Procedures (Informal) – Obtain/document quotes from a reasonable number of qualified sources (at PSUs three)	\$10,000.01 - \$90,000 Must use more restrictive \$90,000 state threshold instead of \$250,000 federal threshold, for PSU's, LAB, ISD, regional schools. Charter Schools are not subject to State procurement laws.	\$10,000.01 - \$250,000 State does not have competitive bidding requirements for service contracts. . PSUs utilize UG process (or local if more restrictive) for PSU's, LAB, ISD, regional schools. Charter Schools are not subject to State procurement laws.
Sealed Bids / Competitive Bids (Formal)	\$90,000.01 or more Must use more restrictive \$90,000 state threshold instead of \$250,000 federal threshold	\$250,000 or more Service contracts subject to state competitive bidding requirements. PSUs must utilize UG process (or local if more restrictive)
Noncompetitive proposals	Appropriate only when: <ul style="list-style-type: none"> • Available only from a single source (sole source) • Public emergency • Expressly authorized by awarding or pass-through agency in response to written request from district • After soliciting a number of sources, competition is deemed inadequate. • A waiver must be obtained from DPI. Please submit waiver request to ProcurementWaiversTeam@dpi.nc.gov. • https://www.dpi.nc.gov/districts-schools/district-operations/financial-and-business-services/federal-fiscal-oversight-and-compliance/fiscal-guidance#ug-procurement-methods 	

***Table was developed by the UNC School of Government.**

Self-Certification Option for Higher Micro-Purchase Threshold

The updates to the Uniform Guidance did not change the micro-purchase threshold; the current micro-purchase threshold remains \$10,000. A subrecipient does not need to solicit competitive price or rate quotations when awarding a micro-purchase if it considers the price to be “reasonable based on research, experience, purchase history or other information and documents it files accordingly”.

However, 2 CFR 200.320 provides PSUs with the ability to raise, via annual self-certification, the micro-purchase threshold to a “higher threshold consistent with State, local, tribal laws and regulations” and which cannot exceed \$50,000. State and local procurement laws must be addressed in any higher threshold that is established. (2 CFR 300.17 and 2 CFR 300.18) PSUs are subject to different procurement requirements and the thresholds allowed will be different.

PSUs are subject to North Carolina procurement laws, under the new Uniform Guidance requirements, a PSU that completes the annual self-certification may raise the micro-purchase threshold of \$10,000 via annual self-certification up to the North Carolina State threshold of \$30,000 for the purchase of “goods” or the purchase of “construction or repair work”, and to \$50,000 for service contracts other than those subject to the Mini-Brooks Act. Local and tribal procurement laws may be more restrictive and must be addressed in certifying a higher threshold.

Charter Schools are not subject to North Carolina procurement laws. Under the new Uniform Guidance requirements, a Charter School that completes the annual self-certification may raise the micro-purchase threshold of \$10,000 via annual self-certification up to the \$50,000 threshold. Local procurement laws may be more restrictive and must be addressed in certifying a higher threshold.

A PSU must maintain documentation supporting the self-certification of a higher micro-purchase threshold and must make such documentation available to a Federal awarding agency or auditor upon request in accordance with 2 C.F.R. 200.334. When self-certifying a higher micro-purchase threshold, a

PSU self-certification must include:

1. a justification for the threshold;
2. a clear identification of the threshold amount; and
3. supporting documentation of any of the following:
 - a qualification as a low-risk auditee, in accordance with the criteria in § 200.520 for the most recent audit;
 - an annual internal institutional risk assessment to identify, mitigate, and manage financial risks; or
 - for public institutions, a higher threshold consistent with State law.

The self-certified micro purchase threshold only applies to federal awards received after November 12, 2020, the effective date of the Uniform Guidance revisions.

Under the Uniform Guidance, NCDPI *does not* need to approve a PSU’s self-certification to a higher micro-threshold. However, to ensure that NCDPI can effectively monitor compliance with procurement

requirements during standard fiscal monitoring activities, NCDPI plans to establish a process for PSUs to provide formal notice to NCDPI of approved increases in their micro-purchase threshold. Additional information may be required to substantiate compliance with the self-certification process during normal monitoring activities.

To ensure smooth implementation of these new requirements, NCDPI recommends following:

1. The self-certification should be approved by the PSU's Board. UNC SOG recently suggested a resolution process to self-certify.
2. Self-certification procedures should be clearly documented.
3. Responsibility for implementing the annual self-certification procedures should be clearly assigned.
4. If a PSU does not qualify as a low-risk auditee, the PSU should be sure to address all elements of the required risk assessment, which should result in a systematic way of identifying, mitigating, and managing financial risks.

If you have any questions about the updates to the Uniform Guidance micro-purchase requirements, please send an email to Shirley.McFadden@dpi.nc.gov.

Period of Performance Flexibility

The intent of federal funds is to benefit students in the fiscal year in which the grant is awarded, as indicated on the Grant Award Notice (GAN). The award notice is for 15 months, with a tidings waiver for an additional 12 months for a total of 27 months. Regarding purchases that cross grant periods (software, computers, equipment), DPI is providing flexibility as follows:

- Purchases may extend beyond one year to take advantage of cost reductions if the students in the current fiscal year receive benefit from the purchase
- Leases and licenses – If instructional software subscriptions are purchased after January, the PSU will need to provide explanation within the budget description indicating how students in the current fiscal year will benefit from the purchase

Suspension and Debarment

Applicants should exercise caution in selecting subcontractors to implement program components. Subgrantees may not contract with any party which is debarred, suspended, excluded from or ineligible for participation in federal programs under [EDGAR 2 CFR Part §200.213](#), "Debarment and Suspension." Non-federal entities are subject to the non-procurement debarment and suspension regulations implementing Executive Orders 12549 and 12689, 2 CFR part 180.

- These regulations restrict awards, sub-awards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs or activities

- CFR §180.220 Procurement contracts included as covered transactions:
 - Any contract or subcontract expected to equal or exceed \$25,000 must be checked against the System for Award Management (SAM) for suspension or debarment (including contracted tutors)
 - Evidence of the verification can be in the form of a date/time stamped print screen or other digital method that is readily available

North Carolina also has a debarred list. These files contain a list of vendors debarred from doing business with the State of North Carolina, including their location, date of debarment, and reason for debarment. [NC Debarred Vendors](#)

Resources

- [System for Award Management \(SAM\)](#)
- [NC Debarred Vendors](#)
- [Code of Federal Regulations](#)
- [Education Department General Administrative Regulations](#)
- [Allowable Costs Under Federal Grants Checklist](#)

Fiscal Monitoring Reviews

The fiscal monitoring reviews are performed in a similar manner to the program reviews. Fiscal Monitors within the Monitoring and Compliance (MAC) Section housed under the Internal Audit Office perform a risk assessment based on the PSUs and charter schools each year. The risk factors include each of the following performance factors and rated as low, medium, or high risk in the order as listed in the descriptions:

Risk Assessment Factor	Descriptions
Prior Monitoring Findings	<ul style="list-style-type: none"> • Review performed with no deficiencies • Minor deficiencies/No review performed • Significant deficiencies
Quality of Annual Financial Reporting	<ul style="list-style-type: none"> • No findings noted/Minor deficiencies • Multiple findings noted • Significant findings
Staffing	<ul style="list-style-type: none"> • No changes • Minor staff changes • Significant staff changes
Years Since Last Monitoring Visit	<ul style="list-style-type: none"> • One to two years • Three years • Four or more

Additional factors are also considered, such as reports of mismanagement or fraud, review of audit reports, implementation of new systems such as new accounting or payroll systems, etc.

Based on the results of the risk assessment, Fiscal Monitors select a subset of the PSUs from the list identified for program monitoring to perform on-site monitoring reviews. MAC will also conduct desk and transaction reviews.

The full on-site monitoring reviews (or their virtual alternatives) will focus on the following areas:

- Allowable Costs
- Procurement (Contracted Services)
- Personal Services (Time and Effort)
- Property Standards (Equipment and Inventory)
- Cash Management
- Internal Controls
- Period of Performance

The desk reviews, will address:

- Allowable Costs
- Internal Controls Related to Allowable Costs

Transaction reviews:

- The transactions will be selected randomly on a bi-annual basis to begin with and move into a quarterly basis, or more frequently, once data techniques and resources allow
- Transactions will be reviewed for allowable costs.

The Fiscal Monitoring Report will be sent the PSUs/charter schools within sixty (60) of the on-site review. PSUs must respond to any Corrective Actions. When all compliance issues are sufficiently resolved, a closing letter is issued.

SECTION 6: DATA COLLECTION AND REPORTING

Districts are required to collect and submit data each year related to the outcomes achieved through federal programs. Timely and accurate data collection and submission is critical for improved educational planning, policymaking, management, and program outcomes.

PowerSchool-Federal Data Collection– PowerSchool collects data for federal programs under the Federal Program Monitoring section.

How to register for the Federal data collection modules – Access to the Federal data collections within PowerSchool is managed by the PSU Power School Administrator. Please contact the PowerSchool administrator in your PSU to request access.

Federal Program Monitoring Data Collection Schedule – Terminology used in schedule:

- USED = US Department of Education
- CEDARS = Common Education Data Analysis and Reporting System, NC's PreK-13 State Longitudinal Data System. The system is composed of various DPI source data collection systems, a student and staff identification system, a centralized data repository, and associated reporting and analysis (i.e., business intelligence) tools.

2022-2023 SY Federal Program Monitoring Data Collection Schedule					
#	Name in PowerSchool	Who reports	Open - Close	What?	Why?
1	Title ID N or D October Headcount/Title IA Year End Private School Count	All PSUs* (LEAs, Charters, and Lab schools) receiving Title I Part A funds (at least one school served with the funds)	Title ID October Headcount: 3 Oct 2022 – 9 Dec 2022 Title IA Year End (Private Participation): 10 Jan 2023 – 17 Jun 2023	October Headcount: Count by grade level of children served with Title I Part A funds in Neglected or Delinquent facilities/programs during school year. (Aggregate) Year End: Title I Part A Private students. (Aggregate)	Reported to USED Included in CEDARS
2	Part D N or D Aggregate Title I Part D, Subpart 2	<u>ONLY</u> PSUs receiving Title I Part D, Subpart 2 funds	Year End Collection: 10 Jan 2023 – 17 Jun 2023	Children served in Neglected or Delinquent programs/ facilities with Title I Part D funds, along with services provided during school year. (Aggregate)	Reported to USED Included in CEDARS
3	Part D N or D Aggregate Title I Part D, Subpart 1	State Agencies (DJJ, DPS) <u>ONLY</u> receiving Title I Part D, Subpart 1 funds (PRC047)	October Headcount: 3 Oct 2022 – 9 Dec 2022 Year End Collection: 10 Jan 2023 – 17 Jun 2023	Children served in Neglected or Delinquent facilities with Title I Part D funds, along with services provided during school year. It includes October headcount. (Aggregate)	Reported to USED Included in CEDARS
4	TAS Targeted Assistance Schools	PSUs with TAS schools	3 Oct 2022 – 20 May 2022	Children eligible and/or served in TAS programs along with services provided during the school year. (Student-level)	Reported to USED Included in CEDARS
5	MEP Migrant Education Program Contact Heriberto Corral Heriberto.Corral@dpi.nc.gov	PSUs with students identified as Migrant (COE- dependent)	Throughout program year	Count of migratory children eligible during the program year (Sep 1- Aug 31). Eligible students served by either local districts who receive a Title IC subgrant or by the Statewide regional Title IC program. Two different windows: Regular (Sep 1- Jun 15) and Summer (Jun 16- Aug 31).	Reported to USED Included in CEDARS
6	Homeless Program Contact Patricia Lentz plentz@serve.org	All PSUs in the state, regardless of receiving McKinney Vento funding (PRC 026)	3 Oct 2022 – 15 Jun 2023	PK-12 homeless children enrolled in public schools along with services provided during school year. Also includes out-of-school (OS) homeless children. (Student-level)	Reported to USED Included in CEDARS
2023-2024 SY Federal Program Monitoring Data Collection Schedule					
7	ESSR Eligible Schools Summary Report 2023-2024	<u>ALL</u> PSUs, <u>regardless</u> if school receives Title I Part A funds	1 May 2023 – Ongoing If PSU has new school(s) or changing grade span in schools, must wait for EDDIE refresh, mid-July (approx.)	Community Eligibility Provision (CEP) option Total # children enrolled at the school Total # low-income children <u>Title I</u> program that will be operating during upcoming school year (PSU/School-level)	Title I application (CCIP) Poverty Percentage School Report Card (SRC) Reported to USED Included in CEDARS

* Public School Unit (PSU) – includes Districts, Charters, and Lab Schools

Revised 6/8/2022

PowerSchool-Eligible Schools Summary Report (ESSR) – PowerSchool-ESSR system collects Title I School eligibility and program model information to determine poverty percentage. The school data is also used for the Title I grant application in the Federal Program Monitoring and Support Division (OFP) grants management system, CCIP. ALL PSUs, both those that receive Title I funds and those that do not receive Title I funds, must report ESSR data through this PowerSchool module. In PowerSchool menu, found under Federal-Title I.

[essr.pdf](#)

PowerSchool-Targeted Assistance Schools (TAS) – PowerSchool-TAS system collects information on students who are eligible and those who receive services under TAS. All PSUs and charter schools with Title I Schools implementing a TAS program must report TAS data through this PowerSchool module. In PowerSchool menu, found under Federal-Title I.

[tas.pdf](#)

PowerSchool-Student Participation – PowerSchool-Student Participation collects count by grade level of children served with Title I Part A funds in private schools, neglected, and delinquent facilities during the school year. It includes October headcount. In PowerSchool menu, found under Federal-Title I. [PowerSchool \(SIS\)](#)

PowerSchool-Homeless – PowerSchool-Homeless collects information on homeless students and services provided by PSUs. All PSUs and charter schools must report Homeless data through this module, even if there are no homeless children to report. In PowerSchool menu, found under Federal-Title X.

SECTION 7: MONITORING

Overview

DPI is required by federal statutes to maintain oversight regarding the use of federal funds. DPI must ensure that districts and schools use federal funds to implement programs and activities that continuously improve in quality from year to year and that address the needs of the students served in these programs. Throughout the school year, districts and schools must maintain appropriate electronic documentation to support compliance with applicable federal program requirements. Compliance is the first step toward program quality; monitoring is the springboard to providing technical assistance.

Why do we monitor?

1. Building Relationships – We’re in this together.
The North Carolina Department of Public Instruction’s main objective is to raise student achievement for North Carolina’s public-school children. Through cooperative assessment of the federal programs between the State and PSUs, the quality of services to students will be strengthened and improved.
2. Technical Assistance – We’re here to help.
State monitoring team members provide technical assistance during review visits and throughout the year. It is not the State's intent to dictate how the PSU will run its Title programs, but rather to answer questions, facilitate dialogue, and exchange ideas and information for program improvement while, at the same time, meeting all federal requirements.
3. Compliance – It’s the law.
Monitoring federal programs helps ensure that all children have a fair, equal, and significant opportunity to obtain a high-quality education. Compliance monitoring is intended to be a collaborative partnership between the State and PSUs to ensure compliance with the ESEA as amended by the ESSA.

Program Monitoring Reviews

Each PSU will be monitored by DPI at least once every four years. A PSU will receive at least a thirty-day notice prior to being monitored by DPI. Information regarding monitoring, including the monitoring instrument, can be found on the [Federal Program and Monitoring support](#) website.

The Federal Program Administrators at NCDPI conducts a risk assessment analysis to determine when a monitoring will be conduct for each program.

Risk Assessment Factor Description Weighting

Risk Factor	Description	Percentage
Title I Allocation	What is the amount of Title I funds received?	10%
Prior Monitoring	How many years since the last review?	15%
Programmatic Findings	What were the results of the last review?	20%
Number of Federal Funds	How many federal grants are received?	10%
Federal Program Director/School Leader	How many years has the Federal Programs Director/School Leader been employed by PSU?	15%
Chief Financial Officer/Outside Agency	How many years has the CFO/Outside Agency been employed by the PSU?	10%
Low-Performing Schools	What percent of schools are CSI, TSI, &IPG	20%

PSUs are ranked from most risk to least risk. PSUs and charters are scheduled for monitoring by rank order within each of the eight State Board of Education districts by the Division Leadership.

The Cross-Program Consolidated Monitoring Instrument reviews all ESSA formula-funded programs using elements for PSUs.

Each Element is marked with ratings as described in the following Rating Rubric:

Rating Rubric			
Meets Requirements	Finding	Meets Requirements with Recommendations	Not Applicable (N/A)
<p>Compliance Element is 100% met and supported by all required evidence.</p> <p>All required documents are provided and support compliance.</p> <p>Interviews support processes, documentation, and implementation.</p> <p>Compliance is consistent at district and schools sampled.</p>	<p>Evidence or lack of evidence show compliance element has not been met.</p> <p>Incomplete or lack of required documentation.</p> <p>Interviews lack understanding or support of documentation, processes, and implementation.</p> <p>Compliance is inconsistent at district and schools sampled.</p>	<p>Basic compliance requirements are met; recommendations are provided for improvement.</p>	<p>The PSU is not eligible for the program.</p> <p>Accountability standard is not applicable.</p> <p>Program not elected (i.e., preschool, private school participation).</p>

It is the goal of the Division to send the final draft of the monitoring report to the sub-grantee within thirty (30) business days of the monitoring visit. DPI requires PSUs to provide written responses to any elements marked as “Findings” within thirty business days. All findings must be cleared before funding for the next fiscal year can be approved. DPI does not require the PSUs to provide a written response for any indicator marked “Meets Requirements with Recommendations.” While compliance requirements have been met, the report provides recommendations to increase program effectiveness. If all elements are marked as “Meets Requirements,” then no response from the PSU is required. Monitoring reports must be maintained on file at the local level for future audits and monitoring reviews.

Consolidated Four Year Monitoring Cycle Schedule

2021-2022 Year 1	2022-2023 Year 2	2023-2024 Year 3	2024-2025 Year 4
Alpha Academy	A.C.E. Academy	Alamance	Alexander
Anson	Achievement Charter Academy	American Renaissance School	Alleghany
Appalachian Academy at Middle Fork	Alamance Community School	Anderson Creek Academy	ArtSpace Charter School

2021-2022 Year 1	2022-2023 Year 2	2023-2024 Year 3	2024-2025 Year 4
Aristotle Preparatory Academy: A Challenge Foundation Academy	Bladen	Apprentice Academy High School of NC	Ascend Leadership Academy: Lee County
Ashe	Cardinal Charter Academy at Wendell Falls	Arapahoe Charter School	Bertie
Asheboro City	Carolina Charter Academy	Beaufort	Bethany Community School
Asheville City	Carolina International School	Bonnie Cone Classical Academy	Bethel Hill Charter
Avery	Casa Esperanza	Buncombe	Bradford Preparatory School
Bear Grass Charter School	Catawba	Cabarrus	Carteret
Brevard Academy: A Challenge Foundation Academy	Chowan	Caldwell	Chapel Hill-Carrboro
Bridges Academy	Cleveland	Camden	Charlotte Secondary School
Brunswick	Clover Garden	Cardinal Charter Academy	Charter Day School
Burke	Commonwealth High School	Carter Community Charter	Chatham
Cabarrus Charter Academy	Craven	Carter G Woodson School	Clay
Cape Fear Center for Inquiry	Crosscreek Charter School	Catamount School	Community School of Davidson
Caswell	Currituck	Columbus Charter School	Cornerstone Charter Academy: A Challenge Foundation Academy
Central Park School for Children	Davidson	Davidson Charter Academy: CFA	Cumberland
Central Wake High School	Davie	Dillard Academy Charter School	Dare
Charlotte Lab School	Discovery Charter	Douglass Academy	East Wake Academy
Charlotte-Mecklenburg	East Voyager Academy of Charlotte	Durham	ECU Community School
Chatham Charter	Elaine Riddick Charter School	Edgecombe	Elkin City
Cherokee	Essie Mae Kiser Foxx Charter School	Evergreen Community Charter	Envision Science Academy
CIS Academy	Graham	FernLeaf Community Charter School	Excelsior Classical Academy CFA
Clinton City	Guilford	Franklin	Falls Lake Academy
Coastal Preparatory	Halifax	Girls Leadership of Wilmington	Francine Delany New School for Children
Columbus	Henderson Collegiate	Granville	Franklin Academy

2021-2022 Year 1	2022-2023 Year 2	2023-2024 Year 3	2024-2025 Year 4
Community Public Charter	Hertford	Gray Stone Day School	Gates
Concord Lake STEAM Academy	Jones	Haliwa-Saponi Tribal School	Greene
Corvian Community School	Juvenile Education Services	Harnett	Greensboro Academy
D.C. Virgo Preparatory Academy	KIPP Charlotte	Henderson	Hoke
DPS Education Services	KIPP Durham College Preparatory	Hickory City	IC Imagine
Duplin	KIPP Halifax College Preparatory	Hobgood Charter School	Ignite Innovation Academy - Pitt
Eastside STREAM Academy	Lincoln Charter School	Hyde	Jackson
Emereau: Bladen	Marjorie Williams Academy	Invest Collegiate Transform	Kannapolis City
Endeavor Charter	MINA Charter School of Lee County	Iredell-Statesville	Lake Norman Charter
Eno River Academy	Monroe Charter Academy	Johnston Charter Academy	Lakeside Charter Academy
Forsyth Academy	Montgomery	Lake Lure Classical Academy	Lee
Gaston	Moore	Langtree Charter Academy	Lincoln
Gate City Charter Academy	Mount Airy City	Lexington City	Mcdowell
Global Scholars Academy	Movement Charter School	Martin	Metrolina Regional Scholars Academy
Guilford Preparatory Academy	Movement School Eastland	Maureen Joy Charter School	Millennium Charter Academy
Haywood	Nash-Rocky Mount	Mountain Island Day School	Mitchell
Healthy Start Academy	NC Leadership Charter Academy	New Hanover	Moore Montessori Community School
Innovative School District	NC Virtual Academy	North East Carolina Preparatory	Mooresville City
Iredell Charter Academy	Niner University Elementary School	Oxford Preparatory School	Mountain Discovery Charter School
Island Montessori Charter School	Pamlico	Peak Charter Academy	Mountain Island Charter School Inc
Johnston	Paul R Brown Leadership Academy	Person	NC Health and Human Services
Kestrel Heights School	Perquimans	Phoenix Academy Inc	NERSBA
KIPP Gaston College Preparatory	Pinnacle Classical Academy	Piedmont Community Charter School	Neuse Charter School

2021-2022 Year 1	2022-2023 Year 2	2023-2024 Year 3	2024-2025 Year 4
Lenoir	Pitt	Pine Springs Preparatory Academy: CFA (1st acceptance 20-21)	Newton-Conover City
Longleaf School of the Arts	Revolution Academy	Pioneer Springs Community School	Next Generation Academy
Macon	Ridgeview Charter School	Pocosin Innovative Charter	Onslow
Madison	Roanoke Rapids	Queen City STEM School	Pine Lake Preparatory, Inc.
Mallard Creek STEM Academy	Robeson	Randolph	Polk
Matthews Charter Academy	Rowan-Salisbury	Richmond	Quest Academy
Moss Street Partnership School	Rutherford	River Mill Academy	Research Triangle High School
North Carolina Cyber Academy	Sallie B Howard School for the Arts and Education	Rockingham	Rolesville Charter Academy
Northampton	Sampson	Sandhills Theatre Arts Renaissance School	Roxboro Community School, Inc.
Northeast Academy for Aerospace & Advanced Technologies	Shining Rock Classical Academy: CFA	Scotland	South Brunswick Charter School
Orange	Stanly	Socrates Academy	Southeastern Academy
Pasquotank	Steele Creek Preparatory Academy	Southwest Charlotte Stem Academy	Stokes
PAVE Southeast Raleigh Charter School	Sugar Creek Charter	Sterling Montessori Academy	Summerfield Charter Academy
Pender	Summit Charter School	Swain	Surry
Piedmont Classical High School	The Capitol Encore Academy	The Exploris School	The Academy of Moore County
PreEminent Charter School	The College Preparatory and Leadership Academy of High Point	The Hawbridge School	The Arts Based School
Quality Education Academy	The Expedition School	Thomas Jefferson Classical Academy: A Challenge Foundation Academy	The Children's Village Academy
Queen's Grant Community School	The Experiential School of Greensboro	Three Rivers Academy	The Franklin School of Innovation
Raleigh Charter High School	The Learning Center	Tillery Charter Academy	The Magellan Charter School
Raleigh Oak Charter School	The New Dimensions School	Transylvania	Tiller School
Reaching All Minds Academy	Thomas Academy	Triangle Math and Science Academy	Tyrrell

2021-2022 Year 1	2022-2023 Year 2	2023-2024 Year 3	2024-2025 Year 4
Research Triangle Charter Academy	Thomasville City	UpROAR Leadership Academy	Union
Rocky Mount Preparatory	Torchlight Academy	Uwharrie Charter Academy	Union Academy Charter School
Southern Wake Academy	Two Rivers Community School	Wake Forest Charter Academy	Unity Classical Charter School
Stewart Creek High School	Union Preparatory Academy at Indian Trail	Washington	Weldon City
Success Charter School	United Community School	Watauga	West Lake Preparatory Academy
The Institute for the Development of Young Leaders	Vance	Wilkes	Whiteville City
The Mountain Community School	Voyager Academy	Wilson	Wilmington Preparatory Academy
Triad Math and Science Academy	Washington Montessori Public Charter School	Winterville Charter Academy	Yadkin
Union Day School	Wayne	Yancey	
Vance Charter School	Wayne Preparatory Academy	Z.E.C.A. School of Arts and Technology	
VERITAS Community School: A Challenge Foundation Academy	Willow Oak Montessori		
Wake	Wilmington School of the Arts		
Warren	Wilson Preparatory Academy		
Water's Edge Village School	Winston-Salem/Forsyth		
Youngsville Academy	Woods Charter		

ESSER Four Year Monitoring Cycle Schedule

2020-2021 Year 1	2021-2022 Year 2	2022-2023 Year 3	2023-2024 Year 4
A.C.E. Academy	Achievement Charter Academy	Alamance	Alexander
Asheville City Schools	Alamance Community School	Amer Renaissance School	Alleghany
Cape Fear Center for Inquiry	Alpha Academy	Anderson Creek Academy	Appalachian Academy at Middle Fork
Cardinal Charter Academy	Anson County	Apprentice Academy High School of NC	Aristotle Prep
Carolina Charter Academy	Ashe County	Arapahoe Charter School	ArtSpace Charter School
Carter Community Charter School	Bladen County	Asheboro City	Ascend Leadership Academy: Lee County
Concord Lake STEAM Academy	Cardinal Charter, Wendell Falls	Avery	Bear Grass Charter School
Durham Public Schools	Carolina International School	Beaufort	Bertie
Eastside STREAM Academy	Casa Esperanza	Bonnie Cone Classical Academy	Bethany Community School
Girls Leadership Academy of Wilmington	Caswell County	Buncombe	Bethel Hill Charter
Macon County Schools	Catawba County	Cabarrus	Bradford Preparatory School
Mount Airy City Schools	Central Park School for Children	Cabarrus Charter Academy	Brevard Academy
Movement School Eastland	Central Wake High School	Caldwell	Brunswick
Niner University Elementary	Charlotte Lab School	Camden	Burke
Perquimans County Schools	Chowan County	Carter G Woodson School	Carteret
Pinnacle Classical Academy	Cleveland County	Catamount School	Chapel Hill-Carrboro
Ridgeview Charter School	Clinton City	Charlotte-Mecklenburg	Charlotte Secondary School
Sampson County Schools	Clover Garden	CIS Academy	Charter Day School
Thomas Academy	Coastal Preparatory	Columbus	Chatham
Vance County Schools	Commonwealth High School	Columbus Charter School	Chatham Charter
	Corvian Community School	Davidson Charter Academy: CFA	Cherokee
	Craven County	Dillard Academy Charter School	Clay
	Crosscreek Charter School	Douglass Academy	Community Public Charter
	Currituck County	Edgecombe	Community School of Davidson
	Davidson County	Emereau: Bladen	Cornerstone Charter Academy: CFA

2020-2021 Year 1	2021-2022 Year 2	2022-2023 Year 3	2023-2024 Year 4
	Davie County	Evergreen Community Charter	Cumberland
	Discovery Charter	FernLeaf Community Charter School	D.C. Virgo Preparatory Academy
	East Voyager Acad of Charlotte	Franklin	Dare
	Essie Mae Kiser Foxx (closed)	Gate City Charter Academy	DPS Education Services
	Forsyth Academy	Global Scholars Academy	Duplin
	Graham County	Granville	East Wake Academy
	Guilford County	Gray Stone Day School	ECU Community School
	Halifax County	Guilford Preparatory Academy	Elkin City
	Henderson Collegiate	Haliwa-Saponi Tribal School	Endeavor Charter
	Hertford County	Harnett	Eno River Academy
	Jones County	Haywood	Envision Science Academy
	Juvenile Education Services	Henderson County	Excelsior Classical Academy CFA
	KIPP Charlotte	Hickory City	Falls Lake Academy
	KIPP Durham College Prep	Hobgood Charter School	Francine Delany New School for Children
	KIPP Halifax College Prep	Hyde	Franklin Academy
	Lincoln Charter School	Innovative School District	Gaston
	Longleaf School of the Arts	Invest Collegiate Transform	Gates
	Marjorie Williams Academy	Iredell-Statesville	Greene
	MINA Charter School of Lee County	Island Montessori Charter School	Greensboro Academy
	Monroe Charter Academy	Johnston Charter Academy	Healthy Start Academy
	Montgomery County	KIPP Gaston College Preparatory	Hoke
	Moore County	Lake Lure Classical Academy	IC Imagine
	Movement Charter School	Langtree Charter Academy	Ignite Innovation Academy - Pitt
	Nash-Rocky Mount	Lenoir	Iredell Charter Academy
	NC Leadership Charter Academy	Lexington City	Jackson

2020-2021 Year 1	2021-2022 Year 2	2022-2023 Year 3	2023-2024 Year 4
	NC Virtual Academy	Martin	Johnston
	Pamlico County	Maureen Joy Charter School	Kannapolis City
	Paul R Brown Leadership Acad	Moss Street Partnership School	Kestrel Heights School
	Pitt County	Mountain Island Day School	Lake Norman Charter
	Revolution Academy	New Hanover	Lakeside Charter Academy
	Roanoke Rapids	North Carolina Cyber Academy	Lee
	Robeson County	North East Carolina Preparatory	Lincoln
	Rowan-Salisbury	Northampton	Madison
	Rutherford County	Northeast Acad for Aerospace & Adv Tech	Mallard Creek STEM Academy
	Sallie B Howard School	Oxford Preparatory School	Matthews Charter Academy
	Shining Rock Classical Acad: CFA	Pasquotank	Mcdowell
	Stanly County	PAVE Southeast Raleigh Charter School	Metrolina Regional Scholars Academy
	Steele Creek Preparatory Acad	Peak Charter Academy	Millennium Charter Academy
	Sugar Creek Charter	Person	Mitchell
	Summit Charter School	Phoenix Academy Inc	Moore Montessori Community School
	The Capitol Encore Academy	Piedmont Classical High School	Mooresville City
	The College Prep & Leadership	Piedmont Community Charter School	Mountain Discovery Charter School
	The Expedition School	Pine Springs Preparatory Academy: CFA	Mountain Island Charter School Inc
	The Experiential Schl, Greensboro	Pioneer Springs Community School	NC Health and Human Services
	The Learning Center	Pocosin Innovative Charter	NERSBA
	The Mountain Community Sch	PreEminent Charter School	Neuse Charter School
	The New Dimensions School	Quality Education Academy	Newton-Conover City
	Thomasville City	Queen City STEM School	Next Generation Academy
	Torchlight Academy	Queen's Grant Community School	Onslow
	Two Rivers Community School	Raleigh Oak Charter School	Orange County

2020-2021 Year 1	2021-2022 Year 2	2022-2023 Year 3	2023-2024 Year 4
	Union Prep Acad at Indian Trail	Randolph	Pender
	United Community School	Research Triangle Charter Academy	Pine Lake Preparatory, Inc.
	Vance Charter School	Richmond	Polk
	Voyager Academy	River Mill Academy	Quest Academy
	Warren County	Rockingham	Raleigh Charter High School
	Washington Montessori Charter	Rocky Mount Preparatory	Reaching All Minds Academy
	Wayne County	Sandhills Theatre Arts Renaissance School	Research Triangle High School
	Wayne Preparatory Academy	Scotland	Rolesville Charter Academy
	Willow Oak Montessori	Socrates Academy	Roxboro Community School, Inc.
	Wilmington School of the Arts	Southern Wake Academy	South Brunswick Charter School
	Wilson Preparatory Academy	Southwest Charlotte Stem Academy	Southeastern Academy
	Winston-Salem/Forsyth	Sterling Montessori Academy	Stokes
	Woods Charter	Stewart Creek High School	Summerfield Charter Academy
		Swain	Surry
		Success Charter	The Academy of Moore County
		The Exploris School	The Arts Based School
		The Hawbridge School	The Children's Village Academy
		The Inst for the Dev of Young Leaders	The Franklin School of Innovation
		Thomas Jefferson Classical Academy:	The Magellan Charter School
		Three Rivers Academy	Tiller School
		Tillery Charter Academy	Tyrrell
		Transylvania	Union
		Triad Math and Science Academy	Union Academy Charter School
		Triangle Math and Science Academy	Union Day School
		UpROAR Leadership Academy	Unity Classical Charter School

2020-2021 Year 1	2021-2022 Year 2	2022-2023 Year 3	2023-2024 Year 4
		Uwharrie Charter Academy	VERITAS Community School
		Wake Forest Charter Academy	Wake
		Washington	Water's Edge Village School
		Watauga	Weldon City
		Wilkes	West Lake Preparatory Academy
		Wilson	Whiteville City
		Winterville Charter Academy	Wilmington Preparatory Academy
		Yancey	Yadkin
		Z.E.C.A. School of Arts and Technology	Youngsville Academy

SECTION 8: Federal Program Monitoring and Support Year at a Glance

Overview

Technical assistance and support activities provided by DPI each year are based on local needs and the availability of state resources.

Sample Calendar

June <ul style="list-style-type: none">• Begin work in CCIP (opens 1st week of June)• Begin planning the initial draft of consolidated budgets• Complete N or D Annual Collection-PowerSchool submitted by June 17th (required of recipients of Title I, Part D Subpart 1 or Subpart 2 funds)• Identify students to be served in TAS Programs• Submit Spring NC Star Comprehensive Plan Report (CSI and TSI schools)• Complete CNA
July <ul style="list-style-type: none">• Create 15% Carryover Limit Preliminary List (Title I only)• Complete Semi-Annual Certification• Complete applications in CCIP• Complete Consolidated budgets• Complete ESSR - if new schools or new grade configuration• Continue to identify students to be served in TAS Programs
Beginning of School Year (and ongoing as needed) <ul style="list-style-type: none">• Schedule Title I Stakeholder Meetings (District AND School Level)• Update and disseminate the Parent's Right-To-Know Information in an understandable language and format (teacher and paraprofessional qualifications, student growth, testing transparency, language instruction)• Consult with families and other stakeholders to jointly develop/ revise and agree upon PFE Policy (District AND School Level)• Consult with families and other stakeholders to jointly develop/ revise and agree upon the School-Parent Compact (School Level)• Ensure the Occupational Survey is included in enrollment packets and that protocol and procedures related to collection of the Occupational Survey (ongoing with new enrollment) are in place.• Share Occupational Survey results with NCDPI MEP Administrators.

August

- Submit planning/ carryover budgets
- Submit Consolidated Application in CCIP, if Not Previously Done (Final Deadline August 31, 2022)
- Submit consolidated budgets, if not previously done
- Discuss w/ district staff comparability requirements to adjust prior to October

September

- Submit waiver requests
- Collect school documentation (invitations, sign-in sheets, presentations etc.) of Annual Title I Meetings by the End of September
- Disseminate PFE Policy to stakeholders (District AND School Level)
- Disseminate School-Parent Compact to stakeholders (parent-teacher conferences where compacts are discussed are required at the elementary level)
- Disseminate Parent/Guardian Notification Letters for Right to Know and TSI/CSI Status
- Send notification letter to parents advising them that their child has been identified for Title I Services if running a TAS Program (notification letter, permission-to-serve form, denial-of-services form)
- Review and update Title I personnel lists by school
- Identify data collection method for Comparability calculations
- Present school improvement plans to the local education agency Board. Seek approval, in accordance with your local board policy

October

- Ensure Parent Compacts have been reviewed, signed, and collected
- Ensure dissemination of District AND School PFE Policy and School PFE Plans
- Ensure dissemination of Parent/Guardian Notification Letters for Right to Know and TSI/CSI Status
- Process waiver requests, (if applicable)
- Collect and review N or D Headcount data (all PSUs; even those with a count of 0)
- Submit Student Participation Headcount through PowerSchool
- Calculate Comparability based on October data
- Review and update Needs Assessment
- Submit NCStar Fall Comprehensive Plan Report (required of low-performing and CSI/TSI)
- Update and disseminate Parent/Guardian Notification Letters for TSI/CSI Status
- Meet with stakeholders to jointly develop strategies to address Equity and teacher quality

<p style="text-align: center;">November</p> <ul style="list-style-type: none"> • Collect and review Comparability data and prepare Comparability Report • Collect and review Equity data and prepare Equity Report • Collect and review N or D Headcount data (all PSUs; even those with a count of 0) • Distribute District and School Report Cards (NCDPI provided) if not previously distributed • Begin work in CCIP for CSI <p><i>*Please note that if initial application (due August 31) has not been submitted, funds are deemed waived in November</i></p>
<p style="text-align: center;">December</p> <ul style="list-style-type: none"> • Submit Equity Plan & Comparability Report by December 1st • Monitor implementation of School Improvement and Parent and Family Engagement Plans • Submit N or D Headcount-PowerSchool (all PSUs; even those with a count of 0)
<p style="text-align: center;">January</p> <ul style="list-style-type: none"> • Collect Semi-Annual Certifications • Meet with stakeholders to review the implementation of strategies to address Equity and teacher quality
<p style="text-align: center;">February</p> <ul style="list-style-type: none"> • Schedule Equitable Services Consultations • Coordinate with early childhood programs to plan transition of preschool students • Submit an Initial Grant Application or funds are deemed waived (New PSUs only) • Submit CSI Grant in CCIP
<p style="text-align: center;">March</p> <ul style="list-style-type: none"> • Review NC Division of Non-Public Schools Website http://www.ncdnpe.org/Default.aspx • Hold Equitable Services Consultations • Work on CNA
<p style="text-align: center;">April</p> <ul style="list-style-type: none"> • Hold Equitable Services Consultations • Collect Free & Reduced and/or Direct Certification/ CEP data for ESSR report • Review Homeless and Foster Care use of funds with point of contact for # of students and amount of reservation in Title I • Submit NCStar CNA, if applicable • Consult and coordinate with early childhood/pre-K staff to update MOU (in preparation for new grant applications, dates on MOU must align with the upcoming school year) • Evaluate the effectiveness of the strategies in the Equity plan with stakeholders • Work on CNA

<p style="text-align: center;">May</p> <ul style="list-style-type: none"> • Complete ESSR-PowerSchool • Submit N or D Annual Collection- PowerSchool • Facilitate District/School Level Title I plan discussions • Attend Regional Meetings • Evaluate the effectiveness of the federally funded activities at the School and District Level • Work on CNA
<p style="text-align: center;">Ongoing Best Practices</p> <ul style="list-style-type: none"> • Facilitate district/school level allocation/budget discussions • Establish a plan and timeline for working with other Federal Programs in the District to coordinate the Consolidated Application in the next year • Evaluate the effectiveness of the federally funded activities at the School and District Level • Monitor School Improvement and Parent and Family Engagement Plans • Review/design evaluations for PFE Plans and professional development activities for impact on student achievement • Develop a system to collect and organize documentation related to the State Monitoring Review

Federal Programs Listserv Messages

The Division routinely utilizes listserv messages to ensure that local staff have up-to-date information as quickly as possible. Make sure your contact information is provided to your Regional Program Administrator to receive updates and other information throughout the year.

Section 9: APPENDICES

APPENDIX 1: GLOSSARY OF GENERAL TERMS AND ACRONYMS

125% RULE	A school or school attendance area whose student population is below 35% poverty may still be eligible for Title I funds. If using this rule, the PSU divides its total allocation per low-income child by the number of low-income children in the school district/charter. Then multiply this per-child amount by 125%. When applying this rule, the PSU completes this calculation before reserving any funds (See Set-Asides).
35% RULE	A school or school attendance area whose student population is at least 35% poverty is eligible for Title I funds. Schools must be served in rank order.
75% RULE	A school or school attendance area whose student population is at or above 75% poverty must be served in rank-order first when building eligibility of per-child amount allocations.
ALLOTMENT	An Allotment is the amount of state or federal funds allocated by the State to PSUs to spend on specific grant program activities. To lawfully spend money in a program report code (PRC) a PSU must have an allotment from DPI which has been approved through an application process. For federal funds, a cash request cannot be submitted unless an approved allotment is available.
AT RISK	At risk students are those students that are failing or at risk of failing to meet state academic standards.
BAAS	BAAS is the Budget and Amendment Approval System (BAAS) at DPI. All PSUs and public charter schools must submit budgets and amendments for federal funds through BAAS for approval by appropriate DPI program staff. https://schools.nc.gov/baas
BUDGET	The budget provides details of the intended use of funds. The budget must be developed to apply for federal funds and must use appropriate account codes for each federal grant.
CARRYOVER	Under the equitable services provision of the Title I statutes, the Title I program for private school participants must begin at the same time as the Title I program for public school participants. The PSU must carry over any unspent funds that should have been used to provide equitable services for private school students and add them to the proportional share of funds for the private school participants for the next school year. However, it is the intent to expend current year funds on current year students.
CCIP	The Comprehensive Continuous Improvement Planning tool is a web-based tool that is used to apply for federal grants. https://ccip.schools.nc.gov
CCIP – Fiscal Representative	Allows the user to mark an application Fiscal Representative Approved and inherits all permissions from the Data Entry role.
CCIP – Chief Administrator	Allows the user to mark an application Chief Administrator Approved and inherits all permissions from the Data Entry role.

CCIP – UAA	The User Access Administrator role is established for grants included in CCIP. The role allows one to create, update, and delete users/roles for an organization. This role does NOT give the user any access to edit the Funding Application or Planning Tool.
CEP	Section 104(a) of the Healthy, Hunger Free Kids Act of 2010 amended the National School Lunch Act to provide an alternative to household eligibility applications for free and reduced-price meals in high poverty PSUs and schools. This alternative is referred to as the Community Eligibility Provision (CEP). The overall purpose of the CEP is to improve access to nutritious meals for students in high poverty areas by providing meals to all students “at no cost” to the students. https://childnutrition.ncpublicschools.gov/information-resources/eligibility/community-eligibility-provision-cep
CFR	The Code of Federal Regulations is the official legal print publication containing the codification of the general and permanent rules published in the Federal Register by the departments and agencies of the Federal Government
COA	Chart of Accounts https://www.dpi.nc.gov/districts-schools/district-operations/financial-and-business-services/school-district-finance-operations/chart-accounts
CNA	Comprehensive Needs Assessment The Comprehensive Needs Assessment (CNA) provides a framework which: <ul style="list-style-type: none"> ● provides districts and schools with a clear view of their strengths, areas for improvement, challenges, and successes; ● enables a systematic review of practices, processes, and systems within a school district; ● assists district and school leadership in determining needs, examining their nature and causes, and setting priorities for future action; ● guides the development of a meaningful district or school plan and suggests benchmarks for evaluation; and ● most importantly, it is a cornerstone of continuous improvement, ensuring the best possible outcomes for all students. https://www.dpi.nc.gov/districts-schools/districts-schools-support/district-and-regional-support/comprehensive-needs-assessment

CSI	<p>Comprehensive Support and Improvement</p> <p>North Carolina must identify schools for comprehensive support and improvement as defined in the ESSA state plan. Listed below are the three categories of identification:</p> <ul style="list-style-type: none"> • CSI–Lowest Performing Schools (CSI-LP) • CSI–Low Graduation Rates (CSI-LG) • CSI–Additional Targeted Support Not Exiting Such Status (CSI-AT) <p>For the 2018–19 identification year, only CSI-LP and CSI-LG schools are identified. CSI-AT schools will first be identified in the 2024-25 school year.</p>
EDDIE	<p>The Educational Directory and Demographical Information Exchange system contains school district and school information such as PSU numbers, school numbers, administrative contacts, school types, grade levels, calendar types, program types, addresses, and more.</p> <p>https://www.dpi.nc.gov/districts-schools/district-operations/financial-and-business-services/eddie</p>
EDGAR	<p>EDGAR is the compilation of the administrative regulations governing USED’s grant programs found in Title 34 of the Code of Federal Regulations (34 CFR). For a complete description of the federal regulations that apply to federal education grant awards, visit the U.S. Department of Education's <u>EDGAR</u> website.</p>
ELAC	English Learner Advisory Council
ELISS	<p>Extended Learning and Integrated Student Support Competitive Grant</p> <p>https://www.dpi.nc.gov/districts-schools/federal-program-monitoring/extended-learning-and-integrated-student-supports-eliss-competitive-grant-program</p>
ESSA	<p>Every Student Succeeds Act</p> <p>https://www.ed.gov/essa?src=rn</p>
ESSR	<p>The Eligible Schools Summary Report lists the poverty percentages for all schools in a district. Read-only data from ESSR is viewed on the Building Eligibility page in the Title I application.</p> <p>https://www.dpi.nc.gov/media/4525/download</p>

ESSER	<p>Elementary and Secondary Schools Emergency Relief Funds</p> <p>https://oese.ed.gov/offices/education-stabilization-fund/elementary-secondary-school-emergency-relief-fund/</p> <p>https://oese.ed.gov/files/2021/03/FINAL_ARP-ESSER-FACT-SHEET.pdf</p> <p>https://www.dpi.nc.gov/districts-schools/district-operations/financial-and-business-services/covid-funds</p> <p>https://www.dpi.nc.gov/districts-schools/federal-program-monitoring/elementary-and-secondary-schools-emergency-relief-esser</p>
FEDERAL FUNDS	Funding sources which come from the federal government are established through PRCs as a separate funding source. Transactions for these funds are always posted to the current fiscal year, as the federal funds have no prior year reporting.
OFP	Federal Programs Monitoring and Support (DPI division)
FY	The state Fiscal Year (FY) is the period between July 1 and June 30 of any given year.
GAN	Grant Award Notification Letter – these are autogenerated when a grant application receives division level approval. A new GAN is generated each time the application is revised to ensure that it is kept current. GAN letters can be found within CCIP.
GRADE SPAN	When an PSU opts to serve schools below 75% poverty, the PSU may choose to serve grade spans (K-5,6-8, 9-12), if the grade span is served in rank order.
Grandfather	The percentage of poverty at each school is calculated based on the ESSR submitted through PowerSchool. School poverty percentages can change from year to year. If the fluctuation of poverty percentage causes a school not to qualify to receive Title I funds, the Grandfather Clause allows the school to operate the same program (TAS/SW) it operated the previous year. The Grandfather Clause is only applicable for one year.
IPG	<p>Innovative Partnership Grant</p> <p>The purpose of the IPG is to carry out the State Educational Agency’s statewide system of technical assistance and support for Entities which have schools identified as schools in need of Comprehensive Support and Improvement (CSI) under the State's federally approved plan for The Every Student Succeeds Act (ESSA). This competition provides additional fiscal resources, technical support, and regular school visits to improve student achievement and ultimately to assist these schools with exiting the federal identification and status of CSI.</p> <p>https://www.dpi.nc.gov/districts-schools/federal-program-monitoring/school-improvement</p>

MEP	<p>The Migrant Education Program provides funds to help migrant students and youth meet high academic challenges by overcoming the obstacles created by frequent moves, educational disruption, cultural and language differences, and health-related problems.</p> <p>https://www.dpi.nc.gov/districts-schools/federal-program-monitoring/migrant-education</p>
MOEquity	Maintenance of Equity requirement is to help ensure that PSUs do not experience a disproportionate reduction in funding.
MOU	The Memorandum of Understanding is a type of agreement between two or more parties
LIEP	Title III Language Instruction Educational Program Service Plan
NAFEPA / NCFEPA	<p>National Association of Federal Education Program Administrators https://nafepa.org/</p> <p>North Carolina Association of Federal Education Program Administrators https://sites.google.com/site/ncacetitlei/home</p>
NCGS	<p>North Carolina General Statute https://www.ncleg.gov/Laws/GeneralStatutesTOC</p>
NCStar	<p>NCStar is a tool provided free of charge to schools to use for continuous school improvement. To use this tool, training is required.</p> <p>https://www.indistar.org</p>
Object Code	<p>Object means the service or commodity obtained as a result of a specific expenditure. Seven major object categories are used in our Chart of Accounts: https://www.dpi.nc.gov/districts-schools/district-operations/financial-and-business-services/school-district-finance-operations/chart-accounts#supporting-documents-fy-2020-2021</p> <p>100 - Salaries 200 - Employer Provided Benefits 300 - Purchased Services 400 - Supplies and Materials 500 - Capital Outlay 600 - Reserved for Future Use 700 - Transfers</p>
PA	Program Administrator
PFE	Parent and Family Engagement
POVERTY BAND	Districts may develop Poverty Bands to provide differentiated per pupil allotments when serving schools in rank order by poverty percentage. Ranking of schools or attendance areas must be based on the greatest to lowest percentage of children from low-income families attending the school.

POWERSCHOOOL	PowerSchool collects data for federal programs under the Federal Program section. Subcomponents include data collection such as the Eligible Schools Summary Report (ESSR), Targeted Assistance Students, and Homeless Students. https://www.dpi.nc.gov/educators/home-base/powerschool-sis
PPA	The Per Pupil Amount of Title I funds determines the funds generated by a school based on the number of low-income children.
PRAYER CERTIFICATION ASSURANCES	Section 8524(b) of ESSA requires that, as a condition of receiving funding under this act, each PSU must provide written certification annually that the PSU does not have a policy that prevents or otherwise denies participation in constitutionally protected prayer in public elementary and secondary schools.
PRC	A Program Report Code is the number assigned to a source of funding, if that funding is to be distributed to the PSUs via the allotment system for state and federal funds. https://www.dpi.nc.gov/media/10383/download
PRIVATE SCHOOLS	Private schools in North Carolina are all non-public schools (not including home schools). Directory for Non-Public Schools https://ncadmin.nc.gov/public/private-school-information/nc-directory-private-schools NCDPI Equitable Services https://www.dpi.nc.gov/districts-schools/federal-program-monitoring/equitable-services-private-schools
PSU	Public School Unit - Defined as a district, charter, or lab school.
Purpose Code	Purpose means the reason for which something exists or is used. Purpose includes the activities or actions that are performed to accomplish the objectives or a local school administrative unit. For budgeting and accounting purposes, expenditures of a local school administrative unit are classified into five purpose as follows: https://www.dpi.nc.gov/districts-schools/district-operations/financial-and-business-services/school-district-finance-operations/chart-accounts#supporting-documents-fy-2020-2021 5000 - Instructional Services 6000 - System-wide Support Services 7000- Non-Programmed Charges 8000 - Non-programmed Charges 9000 - Capital Outlay

Rank Order	<p>Each year (usually in May), LEAs must submit the Eligible Schools Summary Report (ESSR) data to determine which schools are eligible for Title I funding. The data must be entered on the Federal Programs Section in PowerSchool prior to applying for Title I funds since the ESSR data is used to determine school allocations from year to year.</p> <p>A PSU must rank all its schools according to their percent of poverty. The ranking is based on the percentage (not the number) of low-income children in each school.</p>
REVERSION	When funds expire and are pulled back from the PSU and returned to the US Treasury.
REVISIONS	Revisions or amendments to the budget can be made before or after successfully submitting and securing approval on the initial budget.
RLIS	The Rural, Low-Income Schools program is part of the Rural Education Achievement Program (REAP) and provides additional funds to help address the unique learning needs for the states most rural PSUs.
SCHOOLWIDE PROGRAMS (SW)	Schoolwide Programs (SW) are outlined in Section 1114 of ESSA. This model allows the most flexibility in the use of Title I funds. To operate a SW program, the school must be at least 40% poverty and must have a Schoolwide Plan.
SET-ASIDES	Reservations of funds earmarked for specific services and programs at the district level to support Title I schools.
TSI	<p>Targeted Support and Improvement</p> <p>North Carolina must identify schools for targeted support and improvement as defined in the ESSA state plan. These schools receive support at the local level for the identified underperforming subgroups. Listed below are the two categories of identification:</p> <ul style="list-style-type: none"> • TSI – Consistently Underperforming Subgroups (TSI-CU) • TSI – Additional Targeted Support (TSI-AT)
TAS	Targeted Assistance School (TAS) programs are described in Section 1115 of ESSA. TAS qualify for Title I funding by having a percentage of poverty of at least 35%. In this model the students most at risk for not being successful with North Carolina's challenging curriculum will be identified. The procedure for identifying students must be clearly defined. A list of students who qualify and a list of students being served must be maintained and regularly updated in PowerSchool. The students who are identified as at risk of failing do not have to be students of poverty.
UEI	<p>Unique Entity Identifier; used for grant recipient and applicant organizations rather than previously utilized DUNS numbers.</p> <p>The UEI is administered through SAM.gov (System for Award Management)</p>

UGG / UG	The Federal Uniform Grant Guidance (2 CFR, Part 200) is a government-wide framework for grants management provided to assist in complying with regulations issued by the Office of Management and Budget, which pertain to federal grants. The Uniform Guidance was implemented in December 2014 and supersedes guidance from earlier OMB Circulars. Access the full Uniform Guidance and the Uniform Guidance Technical Assistance for Grantees
USED	United States Department of Education https://www.ed.gov/

Appendix 2: Allowability Checklist for Federal Programs

Use these guiding questions to determine whether federal funds can be used to pay for a purchase or activity.

***If the answer to any of the questions below is “no”, the purchase or activity is NOT allowable.**

Allowability Checklist	Yes	No
Is it allowable? <ul style="list-style-type: none"> Is the purchase or activity permitted under ESSA? Does the purchase or activity conform to the Education Department General Administrative Regulations (EDGAR) and Other Applicable Grant Regulations? ESSER Specific: Is the purchase or activity in response to COVID 19? (Prevention, Reduction, or Response) 		
Is it necessary? <ul style="list-style-type: none"> Does the purchase or activity serve the purpose of a program? Does the purchase or activity align with goals and strategies detailed in the CCIP application? 		
Is it reasonable? <ul style="list-style-type: none"> Will the item or service be purchased with the PSU’s procurement or purchasing procedure (State and Local limitations inventory procedure)? Are associated costs comparable with other purchases or activities designed for the same purpose? Are there more affordable purchases or activities that would meet my objective? 		

APPENDIX 3: Checklist/ Step by Step Guide to Submitting an Effective Consolidated Application

Step by Step Guide to Submitting an Effective Consolidated Application	
Month	Actions
June	<ul style="list-style-type: none"> <input type="checkbox"/> Conduct final consultation session with stakeholders to jointly develop the PSUs plans for the use of all federal funding <input type="checkbox"/> Meet with Title I Principals/SITs to discuss school allocations and initial plans for use of funding Check CCIP to ensure application is available (opens 1st week of June) <input type="checkbox"/> Identify students to be served in TAS Programs <input type="checkbox"/> Schedule Title I Stakeholder Meetings (District AND School Level) <input type="checkbox"/> Submit final budget amendment for the current grant year <input type="checkbox"/> Finalize PSU Comprehensive Needs Assessment <input type="checkbox"/> Facilitate a work session with Human Resources and Finance to develop initial draft of the carryover/initial budgets <input type="checkbox"/> Attend NCDPI work sessions with your program administrator to troubleshoot technical issues
July	<ul style="list-style-type: none"> <input type="checkbox"/> Create a draft of the carryover/initial Consolidated budgets <input type="checkbox"/> Submit ESSR (only for New Schools or New Grade Configuration) <input type="checkbox"/> Continue to Identify Students to be Served in TAS Programs <input type="checkbox"/> Review/Approve Title I schools planning budget (based on identified needs for the coming year) <input type="checkbox"/> Require Title I schools to submit a planning budget based on identified needs for the coming year <input type="checkbox"/> Review assurances with the Superintendent and secure signatures <input type="checkbox"/> Attend NCDPI work sessions with your program administrator to troubleshoot technical issues

August	<input type="checkbox"/> Review and update Title I Personnel Lists by School <input type="checkbox"/> Contact your program administrator to troubleshoot technical issues <input type="checkbox"/> Submit carryover/initial budgets (will populate in CCIP within 48 hours) <input type="checkbox"/> Discuss w/ District Staff Comparability Requirements to Adjust Prior to October <input type="checkbox"/> Present consolidated application to the local education agency in accordance to your local policy <input type="checkbox"/> Submit Application in CCIP (Final Deadline August 31, 2022)
September	<input type="checkbox"/> Consultation with internal and external stakeholders to review and revise budget priorities and federally funded activities
October	<input type="checkbox"/> Consultation with internal and external stakeholders to review and revise budget priorities and federally funded activities
November	<input type="checkbox"/> Consultation with internal and external stakeholders to review and revise budget priorities and federally funded activities
December	<input type="checkbox"/> Submit Equity Plan & Comparability Report by December 1st <input type="checkbox"/> Consultation with internal and external stakeholders to review and revise budget priorities and federally funded activities
January	<input type="checkbox"/> Consultation with internal and external stakeholders to review and revise budget priorities and federally funded activities
February	<input type="checkbox"/> Meet with each Title I school team to begin the annual comprehensive needs assessment process <input type="checkbox"/> Schedule Equitable Services Consultations <input type="checkbox"/> Coordinate with Early Childhood Programs to Plan Transition of Preschool Students
March	<input type="checkbox"/> Hold Equitable Services Consultations <input type="checkbox"/> Facilitate district/school level allocation/budget close-out Discussions with internal stakeholders
April	<input type="checkbox"/> Hold Equitable Services Consultations <input type="checkbox"/> Collect Direct Certification and/or CEP data for ESSR report

	<ul style="list-style-type: none"> <input type="checkbox"/> Review Homeless and Foster Care Use of Funds with point of contact for # of students and amount of reservation in Title I <input type="checkbox"/> Submit NCStar CNA, if applicable <input type="checkbox"/> Consult and Coordinate with Early Childhood/Pre-K staff to update MOU (in preparation for new grant applications, dates on MOU must align with the upcoming school year) <input type="checkbox"/> Facilitate Stakeholder Consultations
May	<ul style="list-style-type: none"> <input type="checkbox"/> Attend NCDPI regional meetings to learn about updates and revised guidance <input type="checkbox"/> Submit ESSR - if no New Schools or New Grade Configuration <input type="checkbox"/> Secure required signatures on the PSU/HeadStart MOU <input type="checkbox"/> Complete ESSR-PowerSchool <input type="checkbox"/> Conduct annual comprehensive needs assessments with school – begin with data collection <input type="checkbox"/> Facilitate Stakeholder Consultations <input type="checkbox"/> Attend NCDPI Regional Meetings <input type="checkbox"/> Determine responsible personnel for completing each component of the consolidated application <input type="checkbox"/> Facilitate initial discussions with key district/school level personnel to review the components of the consolidated application <input type="checkbox"/> Send calendar invitations of deadlines to responsible parties <input type="checkbox"/> Evaluate the effectiveness of all federally funded activities at the school and district level <input type="checkbox"/> Schedule presentation of the Consolidated Application

Appendix 4: TITLE I, PART A

Overview

This program provides financial assistance through State educational agencies (SEAs) to local educational agencies (PSUs) and public schools with high numbers or percentages of poverty to help ensure that all children meet challenging State academic content and student academic achievement standards.

PSUs target the Title I funds they receive to public schools with the highest percentages of children from low-income families. Unless a participating school is operating a schoolwide program, the school must focus Title I services on children who are failing, or most at risk of failing, to meet State academic standards. Schools enrolling at least 40 percent of students from low-income families are eligible to use Title I funds for schoolwide programs that serve all children in the school.

Supplement, Not Supplant

To ensure that Title I, Part A funds are used to provide services that are in addition to the services normally provided by a school district for participating children, the district must use these funds to supplement, not supplant regular non-Federal funds.

PSUs are required to establish a methodology of distributing state and local funds to all schools in a Title I neutral manner.

To view the full USED Non-Regulatory Informational Document for Title I Supplement, not Supplant, click [HERE](#).

Comparability

PSUs may receive Title I, Part A funds only if it uses State and local funds to provide services in Title I schools that are “comparable” to services provided in non-Title I schools. Comparability is one indication that the PSU is using Title I funds to supplement and not supplant other funding sources. In North Carolina, PSUs must determine comparability annually to receive Title I, Part A funds [Section 1118(c)].

PSUs are required to submit a comparability report through the CCIP system. PSUs gain access to the CCIP on November 1st. The report must be submitted through the CCIP application to the Division by December 1st of the same year. For more information, please review the [Comparability Documents](#) (Title I Resources).

Community Eligibility Provision

Section 104(a) of the Healthy, Hunger Free Kids Act of 2010 amended the National School Lunch Act to provide an alternative to household eligibility applications for free and reduced-price meals in high poverty PSUs. This alternative is referred to as the Community Eligibility Provision (CEP). The overall purpose of the

CEP is to improve access to nutritious meals for students in high poverty areas by providing meals to all students “at no cost” to the students.

Although the USDA, and not the U.S. Department of Education (ED), administers the National School Lunch Program (NSLP), there is a connection between Community Eligibility and programs operated under Title I, Part A (Title I) of the Elementary and Secondary Education Act of 1965, as amended (ESEA), because State educational agencies (SEAs) and PSUs often use NSLP data to carry out certain Title I requirements. Under section 1113 of the ESEA, a PSU must rank its school attendance areas or schools based on the percentage of economically disadvantaged students to determine a school’s eligibility to receive Title I funds, to allocate funds to selected schools, and to calculate the amount generated for Title I services to eligible private school students.

Parent and Family Engagement

Involving and engaging parents and families as partners in their children's education are cornerstones of the Every Student Succeeds Act (ESSA). When parents are provided opportunities to be engaged partners at home and school, children benefit and are more likely to experience success.

The information in this section has been modified and abbreviated from the Elementary and Secondary Education Act of 1965 [As Amended Through P.L. 115–224, Enacted July 31, 2018], specifically, 1116(a-h) Parent Family and Engagement (PFE) Policy and the Parents Right-To-Know 1112(e)(1-4). The School-Parent Compact is part of the PFE Policy. Public School Units (PSUs) should refer to the entire regulation for comprehensive guidance and additional information.

Parent and Family Engagement Policy

Each public school unit (PSU) that receives Title I, Part A funds shall develop jointly with, agree on with, and distribute to, parents and family members of participating children a written parent and family engagement policy. The policy shall be incorporated into the PSU’s plan developed under ESSA Section 1112, establishing expectations and objectives for meaningful PFE while describing PSU activities, including but not limited to—

- involvement of parents and family members in jointly developing the plan, policy, and school-parent compact
- coordination, technical assistance, and other support necessary to assist and build the capacity of all participating schools within the PSU in planning and implementing effective parent and family involvement activities to improve student academic achievement and school performance, which may include meaningful consultation with employers, business leaders, and philanthropic organizations, or individuals with expertise in effectively engaging parents and family members in education
- coordinate and integrate parent and family engagement strategies with other relevant Federal, State, and local laws and programs

- conduct, with the meaningful involvement of parents and family members, an annual evaluation of the content and effectiveness of the parent and family engagement policy in improving the academic quality of all Title I schools, including but not limited to—
 - removing barriers to ensure greater participation by parents (with particular attention to economically disadvantaged, disabled, having limited English proficiency, have limited literacy, or are of any racial or ethnic minority background)
 - address the needs of parents and family members to assist with the learning of their children, including engaging with school personnel and teacher
 - strategies to support successful school and family interactions
- use the findings from comprehensive needs assessments and of such in ESSA Section 1116(a)(2)(D) to design evidence-based strategies for more effective parental involvement, and to revise, when necessary
- continuously involve parents in Title I served schools, which may include establishing a parent advisory board comprised of a sufficient number and representative group of parents served by the PSU to represent the needs of the population served adequately (ensuring involvement with developing, revising, and reviewing the parent and family engagement policy)

Each PSU that receives more than \$500,000 in Title I, Part A funds shall reserve at least one percent of its allocation to assist schools in carrying out the parental engagement activities.

School-Parent Compact

As a component of the school-level parent and family engagement policy developed under ESSA Section 1116(b), each school served under Title I shall jointly develop with parents a school-parent compact. The compact outlines how parents, the entire school staff, and students will share the responsibility for improved student academic achievement and how the school and parents will build and develop a partnership to help children achieve the State's high standards.

A school-parent compact shall:

- describe the school's responsibility to provide a high-quality curriculum and instruction in a supportive and effective learning environment that enables the children to meet the challenging State academic standards and how each parent will be responsible for supporting their children's learning, volunteering in their child's classroom, and participating, as appropriate, in decisions relating to the education of their children and positive use of extra-curricular time
- Address the importance of communication between teachers and parents on an ongoing basis through, at a minimum—
 - parent-teacher conferences in elementary schools, at least annually, shall discuss and review how the compact relates to the individual child's achievement
 - frequent reports to parents on their children's progress
 - reasonable access to staff, opportunities to volunteer and participate in their child's class, and observation of classroom activities
 - ensure regular two-way, meaningful communication between family members and school staff, and to the extent practicable, in a language that family members can understand

Parents Right-To-Know

At the beginning of each school year notification, a PSU that receives Title I, Part A shall notify the parents of each student attending any school:

- that parents may request, and the PSU will provide the parents, upon request, information regarding the professional qualifications of the student's classroom teachers
- whether the student's teacher:
 - met state qualification and licensing criteria for the grade levels and subject areas in which the teacher provides instruction
 - teaching under emergency or provisional status per state qualification or licensing standards
 - is teaching in the field of discipline of the certification of the teacher
 - whether the child is provided services by paraprofessionals and if so, their qualifications
- timely notice that the student has been assigned, or taught for 4 or more consecutive weeks by a teacher who does not meet applicable state certification or licensure requirements
- information on the level of achievement and academic growth of the student, if applicable and available, on each of the State academic assessments required
- ensure testing transparency and provide the parent's information regarding state or PSU policy regarding student participation in any mandated assessments, including a procedure or parental right to opt the child out of such assessment
- provide a language instruction educational program as determined under, not later than 30 days after the beginning of the school year, inform parents of an English learner identified for participation or participating in such a program, including:
 - the reasons for placement and the needs and strengths of the child
 - the child's level of English proficiency and how the child was assessed
 - the status of the child's academic achievement
 - methods of instruction to meet the child's needs
 - how such program will specifically help their child learn English and meet age-appropriate academic achievement standards for grade promotion and graduation
 - exit requirements for the program, including the expected transition rate from such program into classrooms that are not tailored for English learners
- PSUs ensure notice and format of written and communicated information shall be in an understandable and uniform format and, to the extent practicable, provided in a language that the parents can understand.

In addition to the PSU providing such parents right-to-know information, it is necessary to make clear that parents may request information related to these rights and the information provided by the school.

Additional Information and Resources

- [Safer School Info for Parents](#)
- [North Carolina Foundations for Early Learning and Development](#)
- [Students and Families](#)
- [Programs and Initiatives](#)
- [Toolkit for Parent, Family and Community Involvement](#)
- [Multi-Tiered Systems of Support \(MTSS\) for Families](#)
- [NC Social and Emotional Learning](#)
- [Families & Caregivers Resources](#)
- [Helping Your Child Succeed in School -- Helping Your Child Series](#)
- [Family and Community Engagement](#)

Local Equity Plan

A component of the PSU Title I plan under Section 1112(b)(2) of the ESSA requires public school units to describe how the PSU will identify and address, as required under State plans as described in section 1111(g)(1)(B), any disparities that result in low-income students and minority students being taught at higher rates than other students by ineffective, inexperienced, or out-of-field teachers. While no specific template is required, local staff may want to develop the local plan based on the template DPI used to develop the state plan to ensure equitable access to excellent educators ([state-plan-ensure-equitable-access-excellent-educators](#)).

Homeless Education

Under ESSA, homeless education is included in Title IX, Part A. The Education of Homeless Children and Youth Program entitles children experiencing homelessness to a free, appropriate public education and requires schools to remove barriers to their enrollment, attendance, and success in school. The goals of the program are to:

- Provide immediate enrollment of homeless children and youth not already enrolled in school. This includes reviewing and revising any laws, regulations, practices, or policies that may act as a barrier to the enrollment, attendance, and success of a student
- Provide school stability for students experiencing homelessness by allowing them to remain in their school of origin when this is in the child's or youth's best interest and provide transportation to and from the student's school of origin at the parent's/guardian's or the homeless liaison request

- Ensure that homeless students are provided services in such a way that they are not isolated or stigmatized
- Promote school success and completion for homeless students
- Support collaboration between school districts and community agencies serving homeless students

Identification of Students

Title IX, Part A protects all students who do not have a fixed, regular, and adequate nighttime residence. Students living in the following situations may qualify under the law as homeless:

- doubled-up or sharing the housing with others due to an economic hardship
- runaway/homeless youth shelters (even if parents invite the youth home);
- hotels or motels;
- shelters, including domestic violence shelters;
- transitional housing shelters;
- cars, abandoned buildings, parks, the streets, or other public spaces;
- campgrounds or inadequate trailer homes
- abandoned in a hospital

Every PSU must designate a homeless liaison to determine a student's eligibility under the law. The homeless liaison's primary role is to assist families and school personnel in ensuring that students who are experiencing homelessness can enroll and succeed in school.

Foster Care Provisions

Under the ESEA, as amended by the ESSA, there are specific provisions for students in Foster Care that took effect in December of 2016. Regarding Title I, Part A, funds can be used to implement strategies and programs to remove the barriers incurred through a child being in foster care.

Typically, the greatest need is determining the best school for the student to attend to ensure academic success. This determination cannot be made based on cost or difficulty of transportation. Instead, the decision must be determined in the best interest of the student (Best Interest Determination Meeting/BID). Excess transportation costs are an allowable expense under Title I, Part A and should be included in the funds set aside for foster care, if the PSU decides to use funds for this reason.

PSUs must enter the foster care contact into the CCIP application, Title I Grant Details section.

Public School Units (PSUs) must collaborate with the local child welfare agency to develop and implement clear, written procedures governing how transportation to maintain children in foster care in their schools of origin, when in their best interest, will be provided, arranged, and funded for the duration of the child's time in foster care.

These procedures must ensure that:

1. Children in foster care needing transportation to their schools of origin will promptly receive that transportation in a cost-effective manner and in accordance with section 475(4)(A) of the Social Security Act (42 U.S.C. § 675(4)(A)); and
2. If there are additional costs incurred in providing transportation to maintain children in foster care in their schools of origin, the LEA will provide such transportation if:
 - a. The local child welfare agency agrees to reimburse the LEA for the cost of such transportation.
 - b. The LEA agrees to pay for the cost; or
 - c. The LEA and local child welfare agency agree to share the cost. (ESEA, as amended, 20 U.S.C. § 6312(c)(5)(B)(ii)).

Title I Preschool Program

Under the ESEA, as amended by the ESSA, preschool services to eligible children have been an allowable use of Title I funds since 1965. Providing enriching high quality early childhood experiences can help ensure that children in Title I schools and programs have the foundation to meet academic standards and to experience success throughout elementary and secondary school. When preschool is high-quality, it may prevent the need for remediation by addressing children's educational needs early.

Funding Preschool Programs

PSUs are permitted to fund preschool programs for children who are younger than the age of five by August 31, the kindergarten eligibility cutoff date, with Title I funds under three models:

1. A Title I school may use a portion of their Title I allocation to operate a preschool program;
2. A PSU may reserve an amount from its total allocation to operate a preschool program for eligible children in the PSU as a whole or for a portion of the PSU; or
3. A PSU may reserve an amount from its total allocation and use those funds to support other comparable public early childhood education programs to operate Title I preschool programs such as Head Start.

Title I funds may be used in conjunction with funds from other public early childhood education programs to operate a Title I Pre-K program. The proportion of Title I funds in blended classrooms is determined by the percent of Title I children enrolled in the classroom.

Title I children may be dually enrolled with State funded Pre-K, if the eligibility requirements are met for both programs, with Title I eligibility being considered first. From a funding perspective, this means that two funding sources are utilized to fund a child's slot.

Eligibility

Children living within the local program's designated attendance area are eligible to apply for enrollment in the Title I preschool program. Selection is based on academic need. To identify those with the greatest need, local programs design a selection process that utilizes multiple criteria, such as parent interviews,

teacher observations, and developmentally appropriate measures of child development (developmentally appropriate measures of child development – the most commonly used in NC are the Brigance Early Childhood Screen or DIAL- Developmental Indicators for the Assessment of Learning). Family income may also be used to determine eligibility, but not as the sole determinant.

Curriculum

Curricula used in Title I preschools must be comprehensive, research-based, and aligned with North Carolina's Early Learning Standards. The learning experiences offered in a Title I preschool promote growth in all developmental domains. Children's progress is monitored by teachers in an ongoing manner. This process of formative assessment includes multiple means such as observing, collecting work samples, and talking with families, which provides a picture of the whole child. Teachers use this data to guide teaching and learning to meet the individual needs of every child. Family engagement is an integral component of all Title I preschool programs. Communication between home and school strengthens the family's knowledge and understanding of their child's development and allows parents and teachers to work together to plan appropriate learning experiences. Teachers use a variety of methods to involve parents in the education of their child, including home visits, conferences, and written/electronic communication.

Title I Preschool Resources:

[DOE Non-Regulatory Guidance Early Learning in ESSA](#)

[NC Title I Preschool NC Standards and Procedures](#)

[North Carolina's Early Learning Standards \(aligned to SCOS\)](#)

[Toolkit-New Early Childhood Coordination Requirements in the ESSA-for pr....pdf \(ccsso.org\)](#)

Title I and Education of Migrant Children and Youth

Migrant children are eligible for Part A services on the same basis as other children who are selected to receive services. Because PSUs that receive migratory children normally do so on a regular basis, PSUs should consider their needs when planning, or helping schools to plan, Part A services. Regardless of whether an PSU receives migrant funds, the district and school comprehensive needs assessment should include the needs of identified migrant students to ensure that the needs of this highly mobile population are addressed along with other at-risk students within school plans for the schools they attend. For more information, visit the [Migrant Education Program](#) website.

Title I and Neglected, Delinquent, or At-Risk Youth

Two federal grant programs covered under Title I Part D (The Prevention and Intervention Program for Children and Youth Who Are Neglected, Delinquent, or At-Risk) assist the education of certain disadvantaged children. Districts must submit data annually to identify eligible neglected or delinquent facilities residing within PSU boundaries.

Subpart 2 funds may be used by PSUs in collaboration with local facilities for neglected or delinquent youth to:

- To carry out high-quality education programs that prepare children and youth to complete high school, enter training or employment programs, or further their education
- To provide activities that facilitate the transition of such children and youth from the correctional program in an institution to further education or employment
- To operate dropout prevention programs in local schools for children and youth who are at-risk of dropping out or youth returning from correctional facilities

In addition, Subpart 2 funds may be used for:

- Dropout prevention programs that serve at-risk children and youth. An at-risk child or youth, in this case, means a school-aged individual who is at-risk of academic failure, has a drug or alcohol problem, is pregnant or is a parent, has previously come into contact with the juvenile justice system, is at least 1 year behind the expected grade level for the age of the individual, has limited English proficiency, is a gang member, has previously dropped out of school, or has a high absenteeism rate at school
- Coordination of health and social services for children and youth who are at-risk (e.g., day care, drug and/or alcohol abuse counseling and mental health services) if there is a likelihood that providing such services will help these children complete their education
- Special programs that meet the unique academic needs of children and youth who are at-risk, including vocational and technical education, special education, career counseling, curriculum-based entrepreneurship education and assistance in securing of student loans or grants for postsecondary education
- Programs providing mentoring and peer mediation

For more information regarding Neglected, Delinquent, or At Risk, contact your program administrator or visit the [monitoring-neglected-and-delinquent-students](#) website.

Carryover Limitation

Under ESEA, as amended by ESSA, no more than fifteen percent (15%) of the Title I, Part A funds allocated to an PSU for any fiscal year may be carried over into the next fiscal year. Funds more than 15% must be encumbered or expended by September 30 of each year. This percentage limitation does not apply to an PSU that receives an allocation of less than \$50,000 under Subpart 2 of Part A.

If an PSU determined by the SEA that the carryover of Title I allocation exceeds the allowable percentage, the PSU/charter may request a waiver from the State education agency (SEA) once every three years to waive the carryover limitation if

1. the request is reasonable and necessary; or
2. supplemental appropriations become available.

Under the Education Flexibility Partnership Act of 1999 (Ed-Flex), states may be granted the authority to approve waivers more than once in three years. DPI intends to apply to the USED to continue its Ed-Flex authority in future years. For updates on DPI's Ed-Flex authority, go to the [education-flexibility-program](#)

A PSU has considerable discretion in using carryover funds, however carryover must be expended according to the following:

- Adding carryover funds to the PSU's current-year allocation and distributing them to participating areas and schools in accordance with allocation procedures, ensuring equitable participation of private school children.
- Allocating to schools with the highest concentrations of poverty in the PSU, thus providing a higher per-pupil amount to those schools while ensuring equitable participation of private school children.
- Providing additional funds for specific activities such as school improvement activities.
- Providing additional funds to any of the activities supported by the reservations outlined in § 200.77 of the Title I regulations. If an PSU adds carryover funds to a reservation to which equitable services apply (e.g., parental involvement), the PSU must also provide equitable services from the carryover funds.

Note: Unexpended funds from the parent and family engagement reservation and funds earmarked for equitable services to private schools must be carried forward and expended for the same purpose in the following year.

Title I Schoolwide Plan Requirements


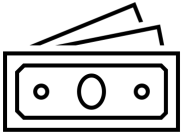

1. Schoolwide Plan must be developed within the first year, unless
 - School operated a Schoolwide program prior to the enactment of ESSA
 - PSU/School determines a lesser period is needed to create the plan
2. Plan developed in consultation with the following stakeholders:
 - Parents
 - Community members (if determined they have a role in carrying out the plan)
 - Teachers
 - Principal/Assistant Principal
 - Other School Leaders
 - Paraprofessionals
 - District office – to the extent feasible
 - Tribes or Tribal organization
 - Specialized Instructional Support Personnel
 - Technical Assistance Providers
 - Other School Staff
 - Students – only for secondary schools served
3. Schoolwide Comprehensive Plan remains in effect for the duration of school's participation in a schoolwide program. Although this plan remains in place, it shall be regularly monitored and revised based on student needs.
4. The Schoolwide Comprehensive Plan must be made available to PSU, parents, and the public. The



language used in the plan needs to be understandable to everyone. The format must be uniform and provided in home languages.




5. When appropriate and applicable, the plan needs to be developed in coordination and integration with Federal, State, and local services, resources, and programs (examples: Programs supported under ESSA, violence prevention programs, nutrition programs, housing programs, Head Start programs, Adult Education Programs, CTE programs)
6. The Schoolwide Plan is based on a Comprehensive Needs Assessment (CNA). The CNA must at least include:
 - Analysis of student academic achievement
 - Identification of at-risk or failing students
7. The Schoolwide Plan must include a description of:
 - Strategies that the school will implement to address needs identified by CNA. Include how the strategies will
 - Provide opportunities for all children to meet the challenging State academic standards
 - Use methods and instructional strategies that strengthen the academic program in the school, increase the amount and quality of learning time, and help provide enriched and accelerated curriculum – may include programs, activities, and courses necessary to provide a well-rounded education.
 - Address the needs of all children in the school, but particularly the needs of those at risk of not meeting the challenging State academic standards, through activities which may include –
 - Counseling, School-based mental health programs, specialized instructional support services, mentoring services, and other strategies to improve students' skills outside the academic subject
 - Preparation for and awareness of opportunities for postsecondary education and the workforce, which may include career and technical education programs and broadening secondary school students' access to coursework to earn postsecondary credit while still in high school (such as Advanced Placement, International Baccalaureate, dual or concurrent enrollment, or early college high schools);
 - Implementation of a schoolwide tiered model to prevent and address problem behavior, and early intervening services, coordinated with similar activities and services carried out under the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.);
 - Professional development and other activities for teachers, paraprofessionals, and other school personnel to improve instruction and use of data from academic assessments, and to recruit and retain effective teachers, particularly in high need subjects; and
 - Strategies for assisting preschool children in the transition from early childhood education programs to local elementary school programs;




- If programs are consolidated, the specific State educational agency and local educational agency programs and other Federal programs that will be consolidated in the schoolwide program.

NCDPI Federal Programs Allowable and Unallowable Costs Expenditure Guidance

*Referencing EDGAR-The Uniform Guidance 2 CFR 200 the following rules apply to federal expenditures:		
Line Item	Examples of Allowable Costs	Examples of Unallowable Costs
Instructional/Professional/Support Staff 	<ul style="list-style-type: none"> • Title I Teacher • Academic/Instructional Coaches • Tutoring • Counselors/Behavior Support • Family and Community Engagement Coordinator/Liaisons • Title I Instructional Paraprofessionals (teacher assistants) • Bookkeeper for Title I, Part A grant work 	<ul style="list-style-type: none"> • Entire salary unless the individual's entire responsibility is Title I, Part A • Time and work in non-Title I schools or with non-Title I students • Principal/Assistant Principal salaries.
Administrative/Indirect Cost 	<ul style="list-style-type: none"> • Title I Director / Coordinator • Professional Development Coordinator • McKinney-Vento Homeless Liaison 	<ul style="list-style-type: none"> • Entire salary unless the individual's entire responsibility is Title I, Part A • Administrative cost is not to exceed 12% of allotment • Indirect rate greater than the percentage assigned to the Public School Unit (PSU)
Employer Provided Benefits 	<ul style="list-style-type: none"> • Social Security • Local Retirement System • Hospitalization Insurance • Workers' Comp. Insurance • Dental Insurance • Life Insurance 	<ul style="list-style-type: none"> • Volunteer contribution accounts (ex. 401K) • If the provided benefits do not match the PSUs policy for benefits system-wide • If a salary object code is not attached under the same site code

<p>Contracted Services</p> 	<ul style="list-style-type: none"> ● Professional Development Providers ● Consultants to upgrade curriculum, instruction, and student supports (instruction/behavior) ● Third-party providers of Title I supports and initiatives (including software licenses) ● Dual or concurrent enrollment programs ● Substitutes for teachers attending Title I, Part A funded professional development opportunities ● Presenters and interpreters for parent and family engagement events ● Grants administration activities (including translation services) ● Contracted instructors that meet state certification requirements (including for equitable services in participating private schools) 	<ul style="list-style-type: none"> ● Substitutes for teachers not attending Title I, Part A funding professional development ● Extended contracts beyond the life of the grant
<p>Supplies and Materials</p> 	<ul style="list-style-type: none"> ● Supplies and materials needed to carry out Title I activities according to needs assessment ● Academic assessments to gauge impact of Title I initiatives ● Computers and software for use by Title I students ● Materials and refreshments (just materials here move refreshments to food) for Title I parent engagement activities/meetings ● Supplies for students experiencing homelessness ● Office supplies for administration of the grant ● Printing/coping for Title I related activities 	<ul style="list-style-type: none"> ● Supplies and materials for non-Title I schools and students ● Alcohol, gifts, awards, fundraising cost, gift cards, meals, and souvenirs ● Supplies and materials not used 100% within a Title I program

Professional Development/Travel 	<ul style="list-style-type: none"> • Professional development registration and travel costs for admin and staff engaged in Title I activities • Course reimbursement to advance Title I initiatives • Travel associated with provision of Title I services • Transportation to allow for student access to Title I related initiatives if not available otherwise • Transportation costs to maintain educational stability for students in foster care 	<ul style="list-style-type: none"> • Food and beverage reimbursement • Credit courses not specific to Title I
Food and Beverages 	<ul style="list-style-type: none"> • Expenditures on food must be reasonable in cost, necessary to accomplish program objectives, and an integral part of the instructional program • Nutritional snacks for students in extended day programs • Nutritional snacks for children in childcare while parents are participating in grant activities • Parent and family engagement activities in which refreshments are necessary to encourage participation and meet program objectives 	<ul style="list-style-type: none"> • Full meals for parents or students • Regarding trainings, refreshments or food are not allowed • Refreshments or meals at an awards banquet or event • Gratuities and Tips • Incentives
Software Purchases 	<ul style="list-style-type: none"> • Software that is currently being used at a school and is approved from Title I funds is only allowable if it has always been paid from Title I funds. • Software must be renewed in the same school year that it is intended for use. • As with other budget codes, purchases/renewals that exceed \$3,000 must have a sole source letter. 	<ul style="list-style-type: none"> • Paying for software for the upcoming school year from current Title I funds is not allowed. • Supplanting – switching the funding stream

Equipment 	<ul style="list-style-type: none"> Equipment is an allowable cost, however the PSU must determine that (1) the equipment is reasonable and necessary to operate Title I programs effectively; (2) existing equipment has not been sufficient to support the need and (3) the costs are reasonable 	<ul style="list-style-type: none"> Supplanting – switching the funding stream
Entertainment/Social Events 	<ul style="list-style-type: none"> No allowable costs 	<ul style="list-style-type: none"> Costs associated with any type of entertainment, banquets, recreation, or social events are not allowable
Incentives 	<ul style="list-style-type: none"> Minimal-cost incentives or instructionally related items to be used in the classroom are acceptable incentives for participation in program activities or recognition. These items should be tied to instructional strategies and activities. 	<ul style="list-style-type: none"> Gifts or items that appear to be gifts Souvenirs and memorabilia or promotional items Door prizes, gift cards, cash Food

Budgeting Codes

Site Codes

000 = District-wide Initiatives (Shared between Title I schools)
810 = Administrative Set-Aside
840 = Preschool - Early Education
860 = Equitable Services for Private Schools

Fund Code

3 = Federal Grant Fund

Purpose Codes

The reason for which something exists and/or used to accomplish the objectives of a PSU. For budgeting and accounting purposes, expenditures are classified into five purposes as follows:

- **5000** Instructional Services
- **7000** Ancillary Services
- **9000** Capital Outlay
- **6000** System-Wide Support Services
- **8000** Non-Programmed Charges

Object Codes

Are the result of a specific expenditure, directly part or related to the purpose, and the next set of digits after the purpose code. There are seven major object categories in the chart of accounts:

- **100** Salaries
- **200** Employer Provided Benefits
- **300** Purchased Services
- **400** Supplies and Materials
- **700** Transfers
- **500** Capital Outlay
- **600** Reserved for Future Use

Resources

School District Finance Operations <https://www.dpi.nc.gov/districts-schools/district-operations/financial-and-business-services/school-district-finance-operations/chart-accounts>

Education Department General Administrative Regulations (EDGAR) and Other Applicable Grant Regulations
<https://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>

Types of Title I Programs

- Title I Targeted Assistance Program (TA) – Funds may be spent on allowable Title I, Part A activities for participating, targeted Title I students, their teachers, and families only in targeted assistance schools.
- Title I Schoolwide Program (SW) – Funds may be spent on allowable Title I activities for any students, teachers, and families of students enrolled in the school.

Title I Set Asides

PSUs are allowed to reserve funds at the district level for earmarked purposes that align to the following categories:

- Administrative (not to exceed 12% of planning allotment)
- School Improvement Interventions (CSI/TSI Schools)
- Financial Incentives or Rewards for recruitment and retention for CSI/TSI schools (5% maximum)
- Professional Development for Teachers in Title I schools
- Parent and Family Engagement (1% minimum for allotments above \$500,000)
- Homeless Children and Youth Services (Section 1113(c)(3)(A) – Comparable to Title I PPA)
- Foster Care Transportation
- Early Childhood Programs
- Neglected, Delinquent, or At-Risk Services
- Districtwide Instructional Initiative
- Unbudgeted Reserve (not to exceed 10% of planning allotment)

Set Asides are to be used to support district level activities. Due to ESSA per pupil expenditures requirements, any expenditure that can be linked to a certain school or a small group of schools must be budgeted at the school site code and cannot be included in the district set aside amounts (with the exception of N or D, Early Learning, and CSI/TSI). An example is the hiring of lead teachers or instructional facilitators. If the positions are assigned to a school or a set group of schools, the position must be at the school level or cost allocated over the group of schools assigned. This position could only be included as a district set aside if, depending on the PSU size and need, a small number are hired to service all Title I schools in the district. They would not have a set schedule at schools, but rather would respond to the needs that arise in the district.

Resources

- [DRAFT Updated Title I, Part A Equitable Services Non-Regulatory Guidance](#) (March 11, 2019)
- [Crosswalk between draft Title I, Part A guidance on equitable services and prior non-regulatory](#) (March 28, 2019)
- **Schoolwide Program Non-regulatory Guidance, September, 2016** ([pdf, 202kb](#))
- **Community Eligibility Provision Guidance** ([community-eligibility-provision-cep](#))
- **Local Equity Plans** ([state-plan-ensure-equitable-access-excellent-educators](#))
 - Local Educational Agency Plan
 - Equity Plan Webinar (2/28/17)
 - FAQs (2/28/17)

APPENDIX 5: TITLE I, PART C

Overview

The Migrant Education Program (MEP) serves children and youth who fulfill the following criteria:

- Age 3-21;
- Have not yet received a high school diploma or its equivalent;
- Have moved into a school district within the last 36 months;
- Whose parents, guardians, spouses, or selves have moved due to economic necessity and have worked in agricultural production or fishing within the last 36 months

Currently, the North Carolina Migrant Education Program (NCMEP) administers 31 PSU-based programs in 30 counties. In addition, students are served in non-program counties through the efforts of Regional Recruiters and summer mini-grant opportunities.

Students who have moved during the past 12 months and who are most at risk for not meeting state standards are given Priority for Services (PFS). The staff at the state level collaborate with locally based programs to conduct a Comprehensive Needs Assessment (CNA) and design programs to fit students' needs.

Identification of Students

All PSUs that receive MEP funding under CCIP, as well as all non-MEP sub-grantees, are required to use the State Occupational Survey to assist the State in identifying potentially eligible students. After potential students are located, they are interviewed by a program recruiter, who will complete a Certificate of Eligibility (COE), which establishes a student's eligibility for services. If a PSU does not receive direct Title I, Part C (MEP) funding, a regional recruiter will conduct interviews of potentially eligible students and the NC MEP team will make final determinations as to whether the child qualifies or not for the program.

Use of Funds

In general, Title I, Part C (MEP) funds may be used to provide supplemental services that improve outcomes for migratory children and Out of School Youth (OSY). The services must be based on a comprehensive needs assessment and aligned to the DPI Service Delivery Plan (SDP). DPI conducts a comprehensive needs assessment to guide the design of the MEP Service Delivery Plan on a statewide basis every three years. PSUs operating MEPs must, in turn, conduct a local assessment of needs to:

1. Prioritize the needs of migratory children and youth
2. Ensure those needs relate to priorities established by the SEA
3. Design services based on the unique needs of students in the local program

The Service Delivery Plan at the SEA and the PSU must be designed to assist migrant children and youth in meeting the performance targets adopted by the SEA for all children (e.g., reading and math, high school graduation, school readiness, etc.). In addition, funds may be used to provide supplemental services through activities included, but not limited to:

- Academic instruction
- Remedial and compensatory instruction
- Bilingual and multicultural instruction
- Vocational instruction
- Career education services
- Special guidance; counseling and testing services; health services
- Preschool services

Resources

[Non-Regulatory Guidance Document](#)

[National Certificate of Eligibility \(COE\) Instructions](#)

[NC Service Delivery Plan](#)

[North Carolina Migrant Program Education Webpage](#)

Appendix 6: Title I, Part D

Overview

Title I, Part D, provides funds to support neglected and delinquent youth. The purpose of the funds is:

- To improve educational services for children and youth in local and State institutions for neglected or delinquent children and youth so that such children and youth have the opportunity to meet the same challenging State academic content standards and challenging State student academic achievement standards that all children in the State are expected to meet;
- To provide such children and youth with the services needed to make a successful transition from institutionalization to further schooling or employment; and
- To prevent at-risk youth from dropping out of school, and to provide dropouts, and children and youth returning from correctional facilities or institutions for neglected or delinquent children and youth, with a support system to ensure their continued education.

Under the ESEA, as amended by the ESSA, Title I, Part D consists of two subparts:

- Subpart 1 provides financial assistance to State agencies to operate educational programs for children in institutions for neglected or delinquent children and for youth in adult correctional facilities. The State agencies in North Carolina that are eligible for funds are the Department of Juvenile Justice and the Department of Corrections (for incarcerated youth).

- Subpart 2 funds are allocated to PSUs based on annual caseload data of the number of children and youth living in local institutions for delinquent children and adult correctional institutions.

Subpart 1 Use of Funds

Except in institution-wide projects, Subpart 1 funds must be used to supplement services targeting the most at-risk children and youth. The following are examples of supplemental services that may be provided:

- Hire additional teachers, aides, educational counselors, and other staff members to provide additional instruction in areas of greatest need
- Train teachers, aides, and other staff members who are actively involved in providing Title I services
- Procure needed educational materials and equipment for Title I instruction, including books, computers, audiovisual equipment and supplies, and classroom materials for industrial arts and vocational training
- Hire transition coordinators or buy new equipment to assist students' transitions (e.g., purchasing scanners to scan individualized education program (IEP) documents)

Subpart 2 Use of Funds

A PSU receiving Subpart 2 funds may use the funds to operate programs that involve collaboration with locally operated facilities with which the PSU has established formal agreements regarding the services to be provided:

- To carry out high-quality education programs that prepare children and youth to complete high school, enter training or employment programs, or further their education;
- To provide activities that facilitate the transition of such children and youth from the correctional program in an institution to further education or employment; and
- To operate dropout prevention programs in local schools for children and youth who are at-risk of dropping out or youth returning from correctional facilities.

A PSU also may use Subpart 2 funds, as appropriate, for:

- Dropout prevention programs that serve at-risk children and youth. An at-risk child or youth means a school-aged individual who is at-risk of academic failure, has a drug or alcohol problem, is pregnant or is a parent, has previously come into contact with the juvenile justice system, is at least 1 year behind the expected grade level for the age of the individual, is a migrant or an immigrant, has limited English proficiency, is a gang member, has previously dropped out of school, or has a high absenteeism rate at school.
- Coordination of health and social services for children and youth who are at-risk (e.g., day care, drug and/or alcohol abuse counseling and mental health services) if there is a likelihood that providing such services will help these children complete their education.
- Special programs that meet the unique academic needs of children and youth who are at-risk, including vocational and technical education, special education, career counseling, curriculum-

based entrepreneurship education and assistance in securing of student loans or grants for postsecondary education.

- Programs providing mentoring and peer mediation.

A PSU receiving Subpart 2 funds must use a portion of its funds to operate a dropout prevention program for students returning from a locally operated correctional facility. However, a PSU that serves a school operated by a locally operated correctional facility, in which more than 30 percent of the children and youth attending the school will reside outside the boundaries served by the PSU upon leaving the facility, is not required to operate a dropout prevention program within the school and may use all of its Subpart 2 funds for programs in locally operated correctional facilities, provided that those facilities have a formal agreement with the PSU.

Program Evaluations for Subpart 1 and 2

Each PSU that conducts a program under subpart 1 or 2 shall evaluate the program, disaggregating data on participation by gender, race, ethnicity, and age, while protecting individual student privacy, not less than once every 3 years, to determine the program's impact on the ability of participants —

1. to maintain and improve educational achievement and to graduate from high school in the number of years established by the State under either the four-year adjusted cohort graduation rate or the extended-year adjusted cohort graduation rate, if applicable;
2. to accrue school credits that meet State requirements for grade promotion and high school graduation;
3. to make the transition to a regular program or other education program operated by a local educational agency or school operated or funded by the Bureau of Indian Education;
4. to complete high school (or high school equivalency requirements) and obtain employment after leaving the correctional facility or institution for neglected or delinquent children and youth; and
5. as appropriate, to participate in postsecondary education and job training programs.

Resources

[Monitoring-neglected-and-delinquent-students](#)

[U.S. Department of Education - Title I, Part D](#)

[NDTAC](#) The National Evaluation and Technical Assistance Center for the Education of Children and Youth Who Are Neglected, Delinquent, or At Risk (NDTAC)

Appendix 7: Title II, Part A

Overview

The Title II, Part A program is designed, among other things, to provide students from low-income families and minority students with greater access to effective educators. Under the ESSA, the term “educators” has been broadened to include teachers, principals, and other school leaders.

The purpose of the program is to develop, implement, and evaluate comprehensive programs and activities to address the learning needs of all students, including children with disabilities, English learners, and gifted and talented students through effective instruction. Title II, Part A grants may be used for innovative and evidence-based activities to attract, select, place, support, and retain excellent educators in every classroom in every school more effectively.

Use of Funds

The following are examples of how Title II, Part A funds may be used:

- Support peer-led, evidence-based professional development in PSUs and schools. Section 8101(42) of ESEA defines “professional development,” specifically noting that the professional development activities are sustained (not stand-alone, 1-day, or short-term workshops), intensive, collaborative, job-embedded, data-driven, and classroom-focused
- Establish, improve, or support school-based residency programs for teachers and school leaders
- Develop high-quality educator induction and mentorship programs that where possible are evidence-based and are designed:
 - To improve classroom instruction
 - To improve student learning and achievement
 - To increase the retention of effective teachers, principals, or other school leaders
- Establish and continuously improve human capital management systems, including educator evaluation and support systems
- Support “time banks” or flexible time for collaborative planning, curriculum writing, peer observations, and leading trainings; which may include using substitute teachers to cover classes during the school day (ESEA sections 2101(c)(4)(B)(v) and 2103(b)(3)(E))
- Compensate teachers for their increased leadership roles and responsibilities (ESEA sections 2101(c)(4)(B)(vii)(I) and 2103(b)(3)(B))
- Promote educator equity through activities such as creating incentive for effective educators to teach in high-needs schools and developing and implementing initiatives to assist in recruiting, hiring, and retaining effective teachers

Historically, PSUs have used most of Title II, Part A funds to support reductions in class size and to provide professional development. When using Title II, Part A funds for professional development and class size reduction, the PSU must use funds on evidence-based activities. (ESEA section 2103(b)(3)(D) and (E)). While the ESEA definition of “evidence-based” states that “at least one study” is needed to provide strong evidence, moderate evidence, or promising evidence for an intervention, PSUs, and other stakeholders

should consider the entire body of relevant evidence and whether there is evidence that an intervention has substantially improved an important education outcome. For more information on evidence considerations, refer to the [USED Non-Regulatory Guidance for Title II, Part A: Building Systems of Support for Excellent Teaching and Learning](#) in Appendix A.

Resources

- [USED Non-Regulatory Guidance for Title II, Part A: Building Systems of Support for Excellent Teaching and Learning](#)
- [What Works Clearinghouse™](#)

Appendix 8: Title III, Part A

Overview

The purpose of Title III, Part A, among other things, is to help ensure that children who are English Learners (ELs), including immigrant children and youth, attain English proficiency, and develop high levels of academic achievement in English so that all English Learners can meet the same challenging State academic standards that all children are expected to meet.

Identification of English Learners

Under Title VI of the Civil Rights Act of 1964 (Title VI) and the Equal Educational Opportunities Act of 1974 (EEOA), all States and PSUs must ensure that ELs can participate meaningfully and equally in educational programs and services. To meet their obligations under Title VI and the EEOA, PSUs must, for example:

- Identify and assess all potential EL students in a timely, valid, and reliable manner
- Provide EL students with a language assistance program that is educationally sound and proven successful, consistent with *Castañeda v. Pickard* and the Supreme Court decision in *Lau v. Nichols*
- Provide sufficiently well prepared and trained staff and support the language assistance programs for EL students
- Ensure that EL students have equal opportunities to meaningfully participate in all curricular and extracurricular activities
- Avoid unnecessary segregation of EL students
- Ensure that EL students who have or are suspected of having a disability under the Individuals with Disabilities Education Act (IDEA) or Section 504 of the Rehabilitation Act of 1973 are identified, located, and evaluated in a timely manner and that the language needs of students who need special education and disability related services because of their disability are considered in evaluations and delivery of services
- Meet the needs of EL students who opt out of language assistance programs

- Monitor and evaluate EL students in language assistance programs to ensure their progress with respect to acquiring English proficiency and grade level content knowledge, exit EL students from language assistance programs when they are proficient in English, and monitor exited students to ensure they were not prematurely exited and that any academic deficits incurred in the language assistance program have been remedied
- Evaluate the effectiveness of a school district's language assistance program(s) to ensure that EL students in each program acquire English proficiency and that each program is reasonably calculated to allow EL students to attain parity of participation in the standard instructional program within a reasonable period of time
- Ensure meaningful communication with limited English proficient (LEP) parents

Use of Funds

In general, Title III funds may be used to provide supplemental services that improve the English language proficiency and academic achievement of ELs, including through the provision of language instruction educational programs (LIEPs) and activities that increase the knowledge and skills of teachers who serve ELs. All services provided to ELs using Title III funds must supplement, and not supplant, the services that must be provided to ELs under Title VI, EEOA, and other requirements, including those under State or local laws. Therefore, just as prior to enactment of the ESEA, as amended by the ESSA, Title III funds cannot be used to fulfill an PSU's obligations under Title VI and the EEOA. The following are examples of how Title III, Part A funds may be used:

- Assist teachers (including preschool teachers), principals and other school leaders, State educational agencies, local educational agencies, and schools in establishing, implementing, and sustaining effective language instruction educational programs designed to assist in teaching English Learners, including immigrant children and youth.
- Assist teachers (including preschool teachers), principals and other school leaders, State educational agencies, and local educational agencies to develop and enhance their capacity to provide effective instructional programs designed to prepare English Learners, including immigrant children and youth, to enter all English instructional settings.
- Promote parental, family, and community participation in language instruction educational programs for the parents, families, and communities of English Learners.

Resources

- [Non-Regulatory Guidance: English Learners and Title III](#)

Appendix 9: Title IV, Part A

Overview

The Student Support and Academic Enrichment (SSAE) program, authorized under subpart 1 of Title IV, Part A of the ESSA, is intended to help increase the capacity of local educational agencies (PSUs), schools, and local communities to: 1) provide all students with access to a well-rounded education; 2) improve school conditions for student learning; and 3) improve the use of technology in order to improve the academic achievement and digital literacy of all students.

Use of Funds

A PSU that receives at least \$30,000 in SSAE program funds must complete a comprehensive needs assessment. For Title IV A application purposes, the same needs assessment can be referred to for a three-year period. The focus of these funds includes, at a minimum, a focus on well-rounded education, student health and safety, and effective use of technology. Based on the results of that assessment, the PSU must (if they receive \$30,000 or more) use:

- At least 20 percent of funds for activities to support well-rounded educational opportunities (ESEA section 4107)
- At least 20 percent of funds for activities to support safe and healthy students (ESEA section 4108)
- A portion of funds for activities to support effective use of technology (ESEA section 4109)
- 15% of that portion can be allocated for technology infrastructure.
- If a PSU receives less than \$30,000, then the PSU may choose to place any amount in one of the three focus areas. The 20-20-Portion Rule would not apply in this case.

Within each of these areas, PSUs have broad flexibility to use the SSAE program funds for a variety of activities to improve student outcomes and address the opportunity gaps identified through the needs assessment. Sample activities are as follows:

- Programs and activities to improve instruction and student engagement in STEM subjects
- Programs and activities that use music and the arts, which may include dance, media arts, theater, and visual arts, as tools to support student success through the promotion of constructive student engagement, problem solving, and conflict resolution
- Interventions that build resilience, self-control, empathy, persistence, and other social and behavioral skills
- Use of technology for blended learning
- Use of technology for personalized professional development for educators

Title IV-A Carryover

There is no carryover limit for Title IV A, but as with any federal fund allocation, it is highly encouraged to obligate those funds in the year they were awarded. If there are carryover funds for Title IV A, then they must be carried over to the same portion they were set aside for in the previous year.

NOTE: Title IV Part A funds may be used for a broad array of activities. Please refer to the USED guidance document for a more expansive list of allowable activities.

Resources

- [USED Non-Regulatory Guidance Student Support and Academic Enrichment Grants](#)
- [USED Parent and Educator Guide to School Climate Resources](#) (April 10, 2019)

Appendix 10: Title IV, Part B

Overview

The purpose of the Title IV, Part B, 21st Century Community Learning Centers (CCLC) program is to provide federal funds to establish or expand community Learning centers that operate during out-of-school hours with three specific purposes:

1. Provide opportunities for academic enrichment, including providing tutorial services to help students (particularly students in high poverty areas and those who attend low-performing schools) meet state and local student performance standards in core academic subjects such as reading and mathematics.
2. Offer students a broad array of additional services, programs, and activities, such as youth development activities, service learning, nutrition and health education, drug and violence prevention programs, counseling programs, arts, music, physical fitness and wellness programs, technology education programs, financial literacy programs, environmental literacy programs, mathematics, science, career and technical programs, internship or apprenticeship programs, and other ties to an in-demand industry sector or occupation for high school students that are designed to reinforce and complement the regular academic program of participating students.
3. Offer families of students served by 21st CCLCs opportunities for active and meaningful engagement in their children's education, including opportunities for literacy and related educational development.

Use of Funds

The USED offers formula funds to SEAs who in turn offer competitive grants to eligible entities. Public or private organizations awarded a grant may use funds only to cover costs that (1) comply with the approved grant application and budget and (2) are reasonable and necessary for the proper and efficient performance and administration of the grant. Activities may include:

- Personnel and personnel benefits
- Staff development and training
- Supplies and materials for students
- Leasing vehicles and other transportation costs (purchasing vehicles is not allowable)
- Rental space, if necessary

PSUs may consider applying for 21st CCLC Funds to sustain extended learning services currently funded by ESSER II, ESSER III, and ARP grants once they expire.

Resources

- [21st Century Community Learning Centers Homepage](#)
- [USED Guidance](#)

Appendix 11: Title V, Part B, Subparts 1 & 2

Overview

The Rural Education Achievement Program (REAP) under Title VI, Part B of the ESEA, as amended by the ESSA, is designed to address the unique needs of rural school districts. These districts frequently lack personnel and resources needed to compete for federal competitive grants and often receive formula allocations that are too small to be used effectively.

Use of Funds

Subpart 1- Small, Rural School Achievement Program (SRSA)

The SRSA program authorizes the USED to award formula grants directly to eligible PSUs. Recipients may use program funds to conduct activities under the following ESEA programs:

- Title I, Part A (Improving Basic Programs Operated by PSUs)
- Title II, Part A (Supporting Effective Instruction)
- Title III (Language Instruction for Limited English Proficient and Immigrant Students)
- Title IV, Part A (Student Support and Academic Enrichment)
- Parent Involvement Activities

In addition, the Alternative Uses of Funds Authority (formerly referred to as REAP-Flex) is a flexibility provision that allows eligible PSUs to combine funding under certain programs to carry out local activities

under other specified Federal programs. Eligible PSUs will indicate within the Title II and Title IV applications, if the SRSA flexibility will be utilized.

Subpart2- Rural and Low-Income Schools (RLIS)

RLIS is designed to address the needs of rural, low-income schools. USED awards formula grants to SEAs, which in turn award subgrants to eligible PSUs on a formula basis. The funds are to be used to carry out activities specified allowed under the following programs:

- Title I, Part A (Improving Basic Programs Operated by PSUs)
- Title II, Part A (Supporting Effective Instruction)
- Title III (Language Instruction for Limited English Proficient and Immigrant Students)
- Title IV, Part A (Student Support and Academic Enrichment)
- Title IV, Part B (21st Century Community Learning Centers)

Resources

NCDPI Rural Education Achievement Program: <https://www.dpi.nc.gov/districts-schools/federal-program-monitoring/rural-education-achievement-program>

Appendix 12: Homeless Education – McKinney Vento

Overview

Under ESSA, homeless education is included in Title IX, Part A. The Education of Homeless Children and Youth Program entitles children who are experiencing homelessness to a free, appropriate public education and requires schools to remove barriers to their enrollment, attendance, and success in school. The goals of the program are to:

- Provide immediate enrollment of homeless children who are not already enrolled. This includes reviewing and revising any laws, regulations, practices, or policies that may act as barriers to the enrollment, attendance, or success of homeless children and youth
- Provide school stability for students experiencing homelessness by allowing them to remain in their school of origin when this is in the child's or youth's best interest and providing transportation to and from the student's school of origin at the parent's/guardian's or unaccompanied youth's request
- Ensure that homeless students are provided services in such a way that they are not isolated or stigmatized
- Promote school success and completion for homeless students
- Support collaboration between school districts and community agencies serving homeless students

Identification of Students

Title IX, Part A protects all students who do not have a fixed, regular, and adequate residence, such as students living in the following situations:

- doubled-up or sharing the housing with others due to an economic hardship
- runaway/homeless youth shelters (even if parents invite the youth home);
- hotels or motels;
- shelters, including domestic violence shelters;
- transitional housing shelters;
- cars, abandoned buildings, parks, the streets or other public spaces;
- campgrounds or inadequate trailer homes
- abandoned in a hospital

Every PSU and charter school must designate a homeless liaison to determine a student's eligibility under the law. The homeless liaison's primary role is to assist families and school personnel in ensuring that students who are experiencing homelessness can enroll and succeed in school.

Use of Funds

Funds are provided by formula to SEAs which in turn offer competitive grants to PSUs to enhance the support provided to children and youth experiencing homelessness in their district. Activities may include, among others, the following:

- Tutoring, supplemental instruction, and enriched educational services that are linked to state achievement standards
- Expedited evaluations of the strengths and needs of homeless children and youths, including needs and eligibility for programs and services
- Professional development and other activities for educators and pupil services personnel
- Assistance to defray the excess cost of transportation for students under section 722(g)(4)(A)
- Early childhood education programs, not otherwise provided through Federal, State, or local funding, for preschool-aged homeless children
- Before- and after-school, mentoring, and summer programs
- Education and training for the parents and guardians of homeless children and youths about the rights of, and resources available to, their children and other activities designed to increase the meaningful involvement of parents and guardians of homeless children and youths in the education of their children
- Development of coordination between schools and agencies providing services to homeless children and youths, as described in section 722(g)(5) [42 U.S.C. § 11432(g)(5)]
- Specialized instructional support services (including violence prevention counseling) and referrals for such services
- Activities to address the needs of homeless children and youths that may arise from domestic violence and parental mental health or substance abuse problems
- Adaptation of space and purchase of supplies for any non-school facilities made available under

subsection (a)(2) [services provided with subgrant funds] to provide services under this subsection

- Provision of school supplies, including those supplies to be distributed at shelters or temporary housing facilities, or other appropriate locations
- Provision of other extraordinary or emergency assistance needed to enable homeless children and youths to attend school and participate fully in school activities

Resources

- [USED Guidance on Homeless Education](#) (March 2017)
- [Homeless Liaison Toolkit](#)
- [National Center for Homeless Education](#)

Appendix 13: Braiding Funding Sources to Fund Initiatives

MTSS

Activities	Funding Sources							
	Title I, Part A	*School Improvement (PRCs 105, 115)	*Title I, Part C Migrant Ed	Title II, Part A	*Title III	Title IV, Part A	*Title IV, Part B (21st Century Community *RLIS	ESSER (PRCs 171, 172, 181, 182)
LEA Level Activities								
LEA MTSS Coordinator to coordinate the LEA program, review overall progress of schools, and lead the development of the LEA's MTSS implementation plan						X		X
Universal screener purchased for all schools in the LEA						X		X
Academic coaches to provide embedded professional development to teachers about MTSS implementation and to assist with student intervention plans and data analysis	X			X	X	X	X	X
Professional development, including job embedded supports, for interventionists or existing teachers for effective MTSS implementation (Tiers 2 and 3)	X		X	X	X	X	X	X
LEA-level early warning data system software and materials to improve the academic achievement of students achieving below grade level					X	X		X
Academic interventionists to work with students to improve the academic achievement of struggling learners	X		X	X	X		X	X
School Level Activities								
School-level early warning data system software and materials to improve the academic achievement of students achieving below grade level	X	X				X		X
Supplemental teacher materials and supplies	X	X	X	X	X	X	X	X
Supplemental student materials and supplies	X	X	X		X	X	X	X
Academic interventionists to work with students to improve the academic achievement of struggling learners	X	X			X		X	X
Professional development, including job embedded supports, for interventionists or existing teachers for effective MTSS implementation (Tiers 2 & 3)	X	X	X	X	X	X	X	X
Support the use of progress monitoring data to improve services for students	X	X	X			X	X	X

Professional Learning

Activities	Funding Sources								
	Title I, Part A	*School Improvement (PRCs 105, 115)	*Title I, Part C Migrant Ed	Title II, Part A	*Title III	Title IV, Part A	*Title IV, Part B (21st Century Community Learning)	*RLIS	ESSER (PRCs 171, 172, 181, 182)
LEA Level Activities									
Hire or contract with instructional coaches to assist teachers in improving instruction	X			X	X			X	X
Provide teacher mentoring programs in schools	X			X	X			X	
Provide induction programs for new teachers in schools	X			X				X	
Provide professional learning for teachers, counselors, and other staff, to increase the effectiveness of the Transitional Bilingual Instruction Program services for eligible English learners	X			X	X				X
Provide supplemental training to improve building principals' abilities to evaluate and provide feedback and support to teachers and leaders				X				X	X
School Level Activities									
Provide stipends and/or release time to permit effective teachers to support other teachers to improve instruction	X	X		X				X	
Hire school-based instructional and/or behavioral coaches	X	X		X		X		X	X
Provide professional development activities involving collaborative groups of teachers and administrators	X	X	X	X	X	X			X
Provide professional development for teachers in content knowledge and in differentiated instructional strategies	X	X	X	X	X	X			X
Provide professional development activities that focus on improving student behavior in the classroom and identifying early and appropriate interventions to help struggling students	X	X	X	X	X	X	X	X	X
Add time to the day or redesign the school schedule to provide teachers with collaborative planning opportunities	X	X		X		X			
Hire school-based content and/or behavior experts to mentor and support other teachers	X	X			X	X	X	X	X
Plan and implement new learning environments supportive of all learners within an inclusive setting	X	X			X				X

Activities	Funding Sources								
	Title I, Part A	*School Improvement (PRCs 105, 115)	*Title I, Part C Migrant Ed	Title II, Part A	*Title III	Title IV, Part A	*Title IV, Part B (21st Century Community Learning)	*RLIS	ESSER (PRCs 171, 172, 181, 182)
LEA Level Activities									
Purchasing supplemental instructional materials	X		X		X		X	X	X
Supporting data analysis	X		X	X	X				X
Teacher mentoring and coaching	X			X	X				X
Professional development activities	X		X	X	X		X	X	X
Principal academies to improve the instructional leadership skills of principals	X			X				X	X
School Level Activities									
Purchasing effective instructional materials, including intervention materials for struggling students	X	X	X		X		X	X	X
Teacher mentoring and coaching	X	X	X	X	X			X	X
Professional development on effective instructional practices for teachers and principals (including stipends to teachers for participating in professional development and release time)	X	X	X	X	X				X
Academic interventionists to work with students to improve the academic achievement of struggling learners	X	X					X	X	X
Stipends and release time for mentor teachers	X	X		X				X	
Support the use of progress monitoring data to improve services for students	X	X			X			X	X
Purchasing effective instructional materials to meet the needs of students with disabilities	X	X						X	X

Attendance

Activities	Funding Sources								
	Title I, Part A	*School Improvement (PRCs 105, 115)	*Title I, Part C Migrant Ed	Title II, Part A	*Title III	Title IV, Part A	*Title IV, Part B (21st Century Community	*RLIS	ESSER (PRCs 171, 172, 181, 182)
LEA Level Activities									
Hire an Advocate to assist teachers and administrators in recognizing and responding to the unique needs of the diverse student population as well as understanding cultural nuances that affect their learning					X	X		X	X
Hire for a position such as a Community Outreach Coordinator that supports the Community Truancy Board (CTB) process	X					X		X	X
Provide professional learning focused on how to effectively engage parents, families, and community partners and how to coordinate services between school and community to address student attendance	X								X
School Level Activities									
Establish site-based School Climate Teams to address issues or barriers students face in attending school on a regular basis	X	X	X		X	X		X	
Hire mentors for students to monitor and support student attendance	X	X				X			X
Train school staff on how to implement systemic and evidence based SEL programs and approaches	X	X	X	X		X	X		X
Build family and community relationships to encourage regular school attendance		X			X		X	X	X
Provide educators and families time to connect in an informal setting, to prevent and resolve problems in a more succinct and efficient manner, and to expand the teacher's knowledge of students' home life and cultural background		X					X	X	
Provide professional learning to educators pertaining to culturally relevant instruction and cultural competency		X	X		X		X	X	X
Professional development opportunities for school staff and district level administrators on the difference between ELs, MEP, and Immigrant students and how the understanding of these differences can impact instruction in the classroom		X	X		X				

ESSER Addendum

Overview

The American Rescue Plan (ARP) Elementary and Secondary Schools Emergency Relief (ESSER III) Fund provides nearly \$122 billion to states to help safely reopen and sustain the safe operation of schools and address the impacts of the coronavirus disease 2019 ("COVID-19") pandemic on the Nation's students by addressing students' academic, social, emotional, and mental health needs. Of this amount, NC received \$3.6 billion.

Use of Funds

PRC	Source	Purpose	Initial Application	Continuation Application	BAAS Budget
163	CARES-ESSER I Encumbrance by 9/30/22	COVID Response	FY20 CCIP Entitlement	No	Carryover Budget due August 15, 2022
164	CARES-ESSER I Encumbrance by 9/30/22	COVID Response Supplemental	FY20 CCIP Entitlement	No	Carryover Budget due August 15, 2022
165	CARES-ESSER I Encumbrance by 9/30/22	Digital Curricula	FY21 Digital Application	No	Carryover Budget due August 15, 2022
166	CARES-ESSER I Encumbrance by 9/30/22	Digital Curricula CANVAS	FY21 Digital Application	No	Carryover Budget due August 15, 2022
167	CARES-ESSER I Encumbrance by 9/30/22	EC Instructional Support	FY21 CCIP	No	Carryover Budget due August 15, 2022
168	CARES-ESSER I Encumbrance by 9/30/22	iCARES	FY21 CCIP Competition	No	Carryover Budget due August 15, 2022
PRC	Source	Purpose	Initial Application	Continuation Application	BAAS Budget
169	GEER I Encumbrance by 9/30/22	Health Support	FY21 CCIP Entitlement	No	Carryover Budget due August 15, 2022
170	GEER I Encumbrance by 9/30/22	Instructional Support	FY21 CCIP Entitlement	No	Carryover Budget due August 15, 2022

PRC	Source	Purpose	Initial Application	Continuation Application	BAAS Budget
171	CRRSA-ESSER II Encumbrance by 9/30/23	COVID Response	FY21 or FY22 CCIP for Initial Entitlement	Yes, must be submitted by August 15, 2022, in FY23	Carryover Budget due August 15, 2022
172	CRRSA-ESSER II Encumbrance by 9/30/23	COVID Response Supplemental	FY21 CCIP Entitlement	Yes, must be submitted by August 15, 2022, in FY23	Carryover Budget due August 15, 2022
173	CRRSA-ESSER II Encumbrance by 9/30/23	Contracted Health Support	FY22 CCIP Entitlement	No	Carryover Budget due August 15, 2022
174	CRRSA-ESSER II Encumbrance by 9/30/23	School Nutrition	FY22 CCIP Entitlement	No	Carryover Budget due August 15, 2022
175	CRRSA-ESSER II Encumbrance by 9/30/23	ELISS	FY22 CCIP Competitive	No	Competition Deadlines
176	CRRSA-ESSER II Encumbrance by 9/30/23	OLR-Summer Support	FY22 CCIP Entitlement	No	Carryover Budget due August 15, 2022
177	CRRSA-ESSER II Encumbrance by 9/30/23	OLR-Summer Support	FY22 CCIP Entitlement	No	Carryover Budget due August 15, 2022
178	CRRSA-ESSER II Encumbrance by 9/30/23	OLR-Competency Based Assessment	FY21 CCIP Entitlement	No	Carryover Budget due August 15, 2022

PRC	Source	Purpose	Initial Application	Continuation Application	BAAS Budget
181	ARPA-ESSER III Encumbrance by 9/30/24	COVID Response	FY21 CCIP Entitlement	Yes, must be submitted by August 15, 2022, in FY23	Carryover Budget due August 15, 2022
182	ARPA-ESSER III Encumbrance by 9/30/24	COVID Response Supplemental	FY22 CCIP Entitlement	Yes, must be submitted by August 15, 2022, in FY23	Carryover Budget due August 15, 2022
183	ARP-HCY Encumbrance by 9/30/24	Homeless Funds	FY22 Addendum Application	No	Carryover Budget due August 15, 2022
184	ARP-HCY Encumbrance by 9/30/24	Homeless Funds	FY22 CCIP Entitlement	No	Carryover Budget due August 15, 2022
188	ARPA-ESSER III Encumbrance by 9/30/24	Summer Enrichment Programs	FY23 CCIP Entitlement Application will open July 1, 2022; and due by July 29, 2022	N/A	Initial budget during FY23 no later than July 27, 2022
189	ARPA-ESSER III Encumbrance by 9/30/24	Instructional Year Programs	FY23 CCIP Entitlement Application will open July 1, 2022; and due by July 29, 2022	N/A	Initial budget during FY23 no later than July 27, 2022
191	ARPA-ESSER III Encumbrance by 9/30/24	Identification and Location of Missing Students	FY22 CCIP Entitlement – Combined Shell II	No	Carryover Budget due August 15, 2022
192	ARPA-ESSER III Encumbrance by 9/30/24	Cyberbullying and Suicide Prevention	FY22 CCIP Entitlement – Combined Shell I	No	Carryover Budget due August 15, 2022

PRC	Source	Purpose	Initial Application	Continuation Application	BAAS Budget
193	ARPA-ESSER III Encumbrance by 9/30/24	Gaggle	FY22 CCIP Entitlement – Combined Shell I	No	Carryover Budget due August 15, 2022
195	ARPA-ESSER III Encumbrance by 9/30/24	School Improvement/ Leadership Development	FY22 CCIP Entitlement	No	Carryover Budget due August 15, 2022
196	ARPA-ESSER III Encumbrance by 9/30/24	High School – CTE Learning Solutions	FY 22 CCIP Competitive	No	Carryover Budget due August 15, 2022
197	ARPA-ESSER III Encumbrance by 9/30/24	Middle School Reading	FY22 CCIP Entitlement – Combined Shell II	No	Carryover Budget due August 15, 2022
198	ARPA-ESSER III Encumbrance by 9/30/24	NBPTS Certification Fees	FY23 CCIP Competitive	No	Carryover Budget due August 15, 2022
201	ARPA-ESSER III Encumbrance by 9/30/24	After-School Robotics Programs	FY 22 CCIP Competitive	No	Carryover Budget due August 15, 2022
202	ARPA-ESSER III Encumbrance by 9/30/24	Student Enrollment Increase	FY22 CCIP Entitlement – Combined Shell I	No	Carryover Budget due August 15, 2022
203	ARPA-ESSER III Encumbrance by 9/30/24	Teacher Bonus	FY22 CCIP Entitlement	No	Carryover Budget due August 15, 2022
205	ARPA-ESSER III Encumbrance by 9/30/24	Driver Education Programs	FY22 CCIP Entitlement – Combined Shell II	No	Carryover Budget due August 15, 2022

Resources

- [NCDPI ESSER Compliance Webpage](#)
- [NCDPI ESSER Monitoring Webpage](#)
- [NCDPI Financial Business COVID Funds](#)
- [Office of Elementary and Secondary Education ESSER Webpage](#)
- USED COVID-19 Handbooks ([Volume 1](#), [Volume 2](#), [Volume 3](#))