



California County Superintendents Educational Services Association

Local Control Accountability Plan (LCAP) Approval Manual

2014-15 Edition

April 30, 2014

BASC
Business and Administration
Steering Committee

CISC
Curriculum and Instruction
Steering Committee

This edition of the CCSESA LCAP Approval Manual represents our best thinking for the 2014-15 initial review and approval process of district Local Control Accountability Plans. This version of the manual is written to assist county offices in the approval process in accordance with the emergency regulations (5 CCR 15494-15497) adopted by the State Board of Education (SBE) on January 16, 2014. The manual has been produced based on the most current information available, and represents a collaboration of the CCSESA's Business and Administration (BASC) and Curriculum and Instruction (CISC) Steering Committees, multiple county offices of education, SBE staff and the California Department of Education (CDE), with assistance from the Fiscal Crisis and Management Assistance Team (FCMAT). The Approval Manual will evolve and adjust once permanent regulations are adopted by the SBE and county offices develop and fine-tune best practices over time.

Table of Contents

Chapter 1	1
Introduction.....	1
Background	1
Three Criteria for LCAP Approval [EC 52070(d)].....	2
Chapter 2	3
Support and Oversight	3
Role of the County Superintendent of Schools	3
Communication with Districts	3
Existing Areas of Oversight	4
Statutory Deadlines	6
Chapter 3	7
Directions for the LCAP Review Process.....	7
LCAP Approval Timeline	7
Budget Approval Nexus.....	7
County Office Assistance and Approval	8
Establishing COE Cross-Departmental Support and Review Teams	8
Possible LCAP Review Process.....	9
Using the Reviewer’s Guide.....	11
Step by Step: Using the Approval Criteria Flowcharts	12
Step by Step: Using the Clarification Table	16
Technical Assistance [EC 52071(a)(1)]	17
Chapter 4.....	19
Components of an LCAP	19
Section 1: Stakeholder Engagement.....	19
Section 2: Goals and Progress Indicators.....	21
Section 3: Actions, Services, and Expenditures.....	24
Appendices.....	29
Appendix A - LCAP Approval Flow Charts.....	29
Appendix B - Clarification Tables	29
Appendix C - Master Checklist.....	29

Chapter 1

Introduction

Background

The 2013-14 California budget introduced the Local Control Funding Formula (LCFF), dramatically reforming California's educational funding system. The LCFF eliminates most categorical funding streams, replacing them with funds based on each LEA's student demographic profile. The LCFF institutes a change in LEA accountability for unrestricted funding in the form of a three-year Local Control Accountability Plan (LCAP), with annual updates, that focuses on services and outcomes for all students, with emphasis on English learners, low income and foster youth students. Under Education Code 52070, et seq., county superintendents are now responsible for the oversight and approval of district LCAPs.

Education Code Section 1240 grants county superintendents the oversight of districts within their county. Under AB1200 that role significantly expanded to include a progressive method of oversight aimed at ensuring fiscal solvency. Over the past 20-plus years, AB1200 has evolved into a multidimensional practice, often referred to as the "art and science of AB1200." Additionally, county offices have been involved in supporting districts in data-driven, educationally related planning and implementation under *Williams* oversight and Program Improvement under No Child Left Behind (NCLB).

Similarly, the district LCAP review and oversight process can be expected to develop over time. This version of the CCSESA COE LCAP Approval Manual (Approval Manual) is designed for the 2014-15 year only. Drawing on and building on other oversight experiences will help county offices as they evolve their LCAP support and approval practices. A thoughtful, holistic approach to LCAP support and review will best serve districts and will enhance the multifaceted role of county office support and oversight.

As with AB1200, county offices of education should utilize a consistent and balanced approach in the LCAP review process. Consequently, this Approval Manual provides guidance to LCAP reviewers in the following areas:

- The LCAP Oversight Role
 - Maximizing communication to best serve districts in the LCAP development process
 - Facilitating collaboration between county office departments
- LCAP Reviewer's Guide
 - Reviewing an LCAP for the **Three Criteria** for approval
 - Guidance when clarification is necessary
 - Assessing the need for technical assistance [EC 52071]

Three Criteria for LCAP Approval [EC 52070(d)]

Throughout the review process, COEs should keep in mind the **Three Criteria** for LCAP approval:

Adherence to SBE Template

1. The LCAP or annual update to the LCAP adheres to the template adopted by the SBE pursuant to Section 52064.

Sufficient Expenditures in Budget to Implement LCAP

2. The budget for the applicable fiscal year adopted by the governing board of the school district includes expenditures sufficient to implement the specific actions and strategies included in the LCAP adopted by the governing board of the school district, based on the projections of the costs included in the plan.

Adherence to SBE Expenditure Regulations

3. The LCAP or annual update to the plan adheres to the expenditure requirements adopted pursuant to Section 42238.07 for funds apportioned on the basis of the number and concentration of unduplicated pupils pursuant to Sections 42238.02 and 42238.03.

Technical Assistance

If a county superintendent of schools does not approve an LCAP for 2014-15, the county superintendent of schools shall provide technical assistance, including, among other things, identification of strengths and weaknesses or the assignment of academic expert or experts. Please refer to Technical Assistance for more information.

SBE's Rubric

Important additional guidance will be provided to county offices when the state approves the evaluation rubric, which the SBE is required to adopt by October 2015. The SBE's rubric will provide further guidance in identifying an LCAP's strengths and weaknesses, with a focus on data points, framed around the eight state priorities outlined in the LCAP Template.

Use of Terms

Throughout this manual, the terms "county superintendent of schools," "county offices" and "COEs" are used interchangeably. In all cases, these terms ultimately refer to the statutory role of the county superintendent of schools under Education Code Sections 1240, 42127 and 52070, et seq.

The Three Criteria for Approval:

1. Adherence to SBE Template
 2. Sufficient Expenditures in Budget to Implement LCAP
 3. Adherence to SBE Expenditure Regulations
-

Chapter 2

Support and Oversight

Role of the County Superintendent of Schools

As the intermediary between the state and LEAs, the county superintendent of schools is responsible for the oversight of the school districts in their jurisdiction. LCAP review and approval expands that role. The county office's role goes beyond district oversight, however. County offices are a valuable resource to districts, offering technical assistance, training and support in multiple areas. Providing open channels of communication and support for districts is critical in fostering a relationship between COEs and districts that focuses on outcomes and performance while assisting districts with compliance.

LCAP review requires an interdepartmental approval process within the county office, making collaborative relationships vital. County offices have engaged in oversight and support of LEAs for many years under AB1200, *Williams Act* requirements, and Program Improvement. Referring to the lessons learned from these years will prove helpful as the LCAP review process develops.

There are many examples of effective strategies that county offices use to help build and strengthen relationships with districts. No single strategy will work for all COEs. Each district is as unique as the population it serves, just as each COE has evolved over time to support the districts in its respective jurisdiction. Throughout the state, there are many alternative models of how COEs and districts collaborate successfully to support students.

Communication with Districts

Successful implementation of localized funding as provided for in the LCFF and the accountability framework created through LCAPs relies on relationships between county offices and districts that encourage thoughtful, inclusive planning.

The LCAP is a locally defined performance and outcome plan for students. The first level of oversight remains with the locally elected board of education and the district administration. In supporting districts through their LCAP development, the following guidelines are important.

Strategies for Relationship Building

- **Service Focused Support**

An ideal strategy for cultivating effective relationships between COEs and districts is one in which the COE engages primarily in service focused support while ensuring compliance. This strategy emphasizes COE operations as a service to districts while ensuring that statutory responsibilities relating to compliance are addressed and results in the COE being viewed as a valuable resource and ally.

County offices of education can provide valuable support and technical expertise, and act as a resource for districts. It is important that COEs prioritize timely follow-through on district requests, provide accurate, contextualized, and meaningful data and support, and assure districts that there are no trivial questions or requests. In terms of LCAP development, it is critical that each COE define its roles and responsibilities and those of key COE staff. Clear explanation of the services that the county office provides to districts is also important.

- **Communication**

To facilitate the county office/district relationship, a positive, transparent, two-way flow of communication is essential. Regular meetings with district leadership can provide a valuable venue for sharing information and experiences, discussing challenges, and identifying best practices. COEs can act as a conduit for open communication and networking amongst district leadership. Early, continual conversations during the development of district LCAPs will help both COEs and districts avoid surprises during the approval process.

Communication Strategies Relative to LCAP

Clear explanation of the COE's expectations of school districts as they pertain to LCAPs is essential. Below are some communication strategies to consider with respect to LCAP reviews:

- Request proactive meetings early in the year, providing early support during district LCAP development
- Request that districts communicate with the COE during LCAP development
- Encourage adherence to the spirit and intent of the template and regulations
- Provide a timeline and a checklist for districts to use in LCAP development and submission
- Provide an annual reminder of the five-day requirement to submit the adopted budget and LCAP to the county superintendent
- Provide LCAP development training and support
- Develop a working understanding and appreciation of the roles, communications and strategies used under AB1200, *Williams* and all areas of oversight
- Become familiar with district demographics and stakeholder outreach
- Remain neutral regarding the merits of the goals identified in the LCAP but potentially offer guidance
- Conduct workshops to train district staff as needed
- Provide technical assistance whenever and wherever needed
- Share best practices by other school districts
- Collaborate with other COEs

Collaboration within the County Office of Education

The LCAP review process requires several county office departments to work together (business, curriculum and instruction, technology, human resources, special education, etc.). Effective cross-departmental collaboration within COEs will be key as the review process unfolds. Ensuring that key players in the review process are identified internally and to the districts will help, as will recognition that many departments have experience in support and oversight roles for districts. An internal environment of respect for these experiences in all departments will be constructive.

Existing Areas of Oversight

LCAP review brings together several departments within the county office. Other oversight and support roles have been well established throughout various COE departments, each of which can offer guiding points that can smooth the development of LCAP review.

AB1200

Under AB1200, the county superintendent is responsible for reviewing district budgets and interim reports and determining whether or not the district can meet its financial obligations in the current and two subsequent fiscal years. Additionally, COEs review public disclosures of collective bargaining and non-voter-approved debt.

Since the introduction of AB1200 in 1992, COEs have grown into the role of management assistance and oversight. The lessons learned in these years are invaluable and should be considered during the development of LCAP review processes. Many of the strategies mentioned earlier in this chapter were gleaned from the experience of AB1200 oversight.

LCAP review and approval is tied to AB1200, as a county office may not approve a district's budget until its LCAP is approved [EC 42127(d)(2)].

Williams Monitoring and Oversight

The *Eliezer Williams, et al., vs. State of California, et al. (Williams)* case was filed as a class action lawsuit in 2000 in San Francisco County Superior Court. The settlement reached in the case created county mandated *Williams* reviews, requiring county teams to review schools in deciles 1-3 of academic performance to ensure that these schools had instructional materials for every student, credentialed teachers in every classroom, school facilities in good condition, accurate School Accountability Report Cards (SARCs), and a Uniform Complaint Procedure. CCSESA worked with the CDE and the ACLU to design a review process for counties to use. The purpose of the review was to shine light on each school's performance in these areas.

The *Williams* review has been in place for over ten years. During that time many lessons have been learned, including the benefits of the following practices:

- Developing a relationship with the *Williams* coordinator for each district.
- Providing annual professional development about the process for school and district personnel and good practices.
- Identifying county reviewers to do the work (e.g. curriculum staff to do instructional material reviews, facilities staff to review facilities).
- Providing annual professional development and collaboration for the county reviewers so there are consistent reviews for all schools.
- Being transparent with the districts about the process. Unless the visit is unannounced, contacting the principal to review the procedures.
- Fostering relationships between the COE and districts throughout the year so that COEs are not limited to a monitoring role.

Program Improvement Under No Child Left Behind (NCLB)

Under the Elementary and Secondary Education Act (ESEA), districts may be identified for program improvement under Title I, Title II, and/or Title III and are subject to requirements under each accountability system. County offices provide technical assistance to districts so they may comply with the specific requirements of each program. This assistance has included helping the district to conduct a needs analysis in the follow areas:

- Governance
- Fiscal resources

- Human resources
- Assessment
- Alignment of curriculum and instruction
- Professional development
- Parent and community involvement
- Data systems and achievement monitoring

To better support the achievement of specific subgroups of students, county offices have also helped districts to conduct the Inventory of Services and Supports for Students with Disabilities (ISS for SWDs) and the English Learner Subgroup Self-Assessment (ELSSA). In addition, since March 2008, county offices of education have provided technical assistance in Title I Program Improvement to districts required to rewrite their Local Educational Agency Plan.

Providing technical assistance to develop quality programs and plans that address the needs of all students and the unique needs of subgroups of students is a critical service county offices provide. LCAP review is a logical extension of the work that has long been conducted by county offices of education.

Statutory Deadlines

Statutory deadlines are an integral part of the county office of education's oversight activities and planning. It is important to remember that statutes merely provide "due dates," the latest date by which districts and COEs must produce some form of material or to take some sort of action. All areas of oversight necessitate a timeline for activities framed around the established statutory deadline, thereby establishing due dates leading up to the deadline. This timeline takes into consideration the activities performed at both the district and COE levels, incorporates milestones for sharing information, and builds in checkpoint discussions with districts to assess progress and address any needs that may arise.

The established deadlines associated with all areas of oversight including AB1200 [EC 42127] have become second nature for COEs and districts. LCAPs present an interesting challenge, as these plans are directly linked to district budgets and associated deadlines [EC 52060], and run concurrently with those associated with the LEA budget process.

Budget and LCAP Timelines

(see Chapter 3 for a detailed description of LCAP timelines)

Under the LCFF, COEs face a unique challenge because they may not approve a district's budget before approving its LCAP. COEs are given until October 8 to approve LCAPs but shall approve LEA budgets by August 15. While COEs are provided additional time to review LCAPs, they will most likely need to do so in conjunction with the budget review process to meet the statutory deadline for budget approval. This challenge highlights the need to develop a more comprehensive timeline for COE oversight processes, one that recognizes the effort required by districts and provides allowances for unanticipated challenges.

The requirement for local stakeholder involvement in LCAP development compels districts to start the budget planning and LCAP development process early. COEs can help LEAs by establishing timelines, providing information, checking status, and encouraging districts to share LCAP drafts during development.

Chapter 3

Directions for the LCAP Review Process

LCAP Approval Timeline

The LCAP approval timeline provides for an additional six weeks beyond the timeline for approving the annual budget. This additional time allows for written clarification between the county superintendent and the district board, where clarification is needed prior to granting approval of a district's LCAP.

- On or before August 15
 - County superintendent of schools may seek clarification, in writing
 - Within 15 days governing board of a school district shall respond, in writing, to requests for clarification
 - Within 15 days of receiving response, the county superintendent of schools may submit recommendations, in writing, for amendments to the LCAP or annual update
 - The governing board of a school district shall consider the recommendations submitted by the county superintendent of schools in a public meeting within 15 days of receiving the recommendations
- On or before October 8
 - A county superintendent shall approve a district's LCAP, provided the district meets the **Three Criteria** in EC 52070(d).

Budget Approval Nexus

The LCAP approval process is tied to the budget approval and budget approval is now tied to LCAP approval. If a county superintendent does not approve a district's LCAP on or before August 15, the county superintendent may not approve a district's annual budget. Because of this timing, county superintendents may choose to pursue district LCAP approvals within the same timeframe as budget approvals, if possible.

- LCAP approval required by October 8
- Recommend LCAP approval by August 15
 - If LCAP is not approved by August 15:
 - Conditional budget approval may be an option [EC 42127(c)(d)]
 - A conditional approval may be an effective tool
 - May be an appropriate response to a lack of sufficient expenditures in the budget
- Disapproved budget for LCAP deficiencies

- EC 42127(d)(1) states the county superintendent of schools shall disapprove a budget if the county superintendent of schools determines that the budget does not include the expenditures necessary to implement a LCAP.
- If the sole reason for a budget being disapproved is the lack of an approved LCAP or annual update, the requirement for formation of a budget review committee is waived.
- If a district's LCAP fails in any of the **Three Criteria**, the county superintendent shall provide technical assistance including but not limited to:
 - Identification of the school district's strengths and weaknesses with regard to the state priorities
 - Assignment of an academic expert(s)
 - Request the SPI to assign the California Collaborative for Educational Excellence (CCEE) to provide advice and assistance (not available for 2014-15)

For the 2014-15 LCAP reviews, technical assistance may be limited to the identification of a district's strengths and weaknesses and the possible assignment of an academic expert. Assistance from the CCEE is not available. The CCEE is not yet formed and will not be available to provide assistance for 2014-15 LCAPs.

County Office Assistance and Approval

LCAP approval and assistance activities will be more effective if conducted by a cross-functional team with staff from curriculum and instruction, business, and technology. Program staff are best placed to understand what the actions/services identified in the LCAP mean in terms of the resources they represent; business staff are best placed to assess the reasonability of the cost of those resources; and technology is integral to all aspects of district and school operations especially with the advent of Smarter Balanced Assessments and the technology investment this represents for most districts.

Establishing COE Cross-Departmental Support and Review Teams

- Reviews will depend upon the specific goals and actions identified across the three-year plan
- All reviews may, at a minimum involve:
 - Curriculum & Instruction
 - Identify instructional strategies and associated expenditures outlined in the LCAP
 - In coordination with Business Services, assess sufficiency of associated expenditures included in budget
 - In coordination with Business Services, assess description of minimum proportionality increased services
 - Business Services

- In coordination with Curriculum & Instruction, assess sufficiency of associated expenditures included in budget
- Confirm calculation of estimated supplemental and concentration grants amount and minimum proportionality percentage (MPP), as estimated by district
- In coordination with Curriculum & Instruction, assess description of minimum proportionality increased services
- Additional support may involve review teams from:
 - Information Technology
 - Review of technology related instructional goals and actions
 - Human Resources
 - Review and assessment of appropriate credentials, as connected to State Priority #1 or other areas, as appropriate

Possible LCAP Review Process

There will likely be as many review processes as there are county offices of education. Below are two sample approaches to the review process:

Review Process Example #1

1. Establish an LCAP review team
 - a. Fiscal and C&I representatives
2. LCAP review team performs intake of all LCAPs together using the CCSESA LCAP Approval Manual
3. Simultaneously and separately, budget review teams perform preliminary intake of budget data
 - a. Periodic updates and communication shared with LCAP review team
4. LCAP review team may identify specific areas of LCAP review for fiscal and C&I
5. Fiscal and C&I perform their respective checks according to Criteria #1; Adherence to SBE Template [EC 52070(d)(1)]
6. Fiscal performs reasonability check according to Criteria #2; Sufficient Expenditures in Budget [EC 52070(d)(2)]
7. Fiscal and C&I review description of expenditures of supplemental and concentration grant amounts according to Criteria #3; Adherence to SBE Expenditure Regulations
8. Fiscal and C&I, either together or individually, identify needed areas of clarification
9. Review team then coordinates strategy on respective items/areas that need further clarification
 - a. Team identifies and coordinates who communicates and how, and crafts a communication strategy

10. Prior to August 15, communicate with boards for further clarification
11. Once the district board responds to a clarification letter [EC 52070], LCAP review team and budget review team participate in recommended response to county superintendent

Review Process Example #2

1. July 1-3, cursory review by External Fiscal Department of district budgets
 - a. Review of multiyear projections
 - b. Standards & Criteria
 - c. Reserve levels
 - d. Deficit spending, and other indicators of fiscal distress
2. July 7, 9 & 10, upon completion of cursory review if districts' budgets appear reasonable, External Fiscal Department meets with C&I to review district LCAPs
 - a. Work with multiple copies of LCAPs to review simultaneously or work from a single copy, sharing and incorporating input as a team using the LCAP Approval Manual
3. July 14-30, once LCAPs are approved, External Fiscal Department resumes more in-depth review of district budgets. Joint letters of approval are then sent to district boards.

Using the Reviewer's Guide

There are three components to the Reviewer's Guide. Step by step directions for each component follow in the next section.

1. LCAP Criteria Approval Flowchart (Appendix A)

This section guides reviewers through the LCAP, focusing on the three statutory approval criteria (listed in Chapter 1) that determine if the LCAP is eligible for approval. The flowcharts are broken into three sections:

- Criteria #1: Adheres to the SBE Template
- Criteria #2: Sufficient Expenditures in Budget
- Criteria #3: Adherence to Expenditure Requirements

Beginning with the opening question on the left hand side of the flowchart, respond to the question boxes as they relate to the LCAP under review. Move from left to right. A yes/no answer provides information for whether or not the statutory requirement is met. Value judgments are not a part of the statutory requirement. A "no" answer will lead to the Clarification Table (see following section).

2. LCAP Clarification Table (Appendix B)

The Clarification Table is organized by template sections and provides guidance in the case of "no" answers on the Criteria Approval Flowchart.

Each section provides examples of evidence to consider requesting from districts to demonstrate the LCAP's adherence to the requirements. The table provides a guide for communicating with the district.

3. Technical Assistance

If a COE does not approve a district's LCAP, Education Code 52071(a)(1) requires the county superintendent to provide technical assistance. Technical assistance may include the assignment of an academic expert or experts; the identification of a district's LCAP strengths and weaknesses; and assistance from the California Collaborative for Educational Excellence, among other things.

For further information on the Strengths and Weaknesses Analysis, please refer to the Strengths and Weakness Analysis in this manual.

Step by Step: Using the Approval Criteria Flowcharts

Beginning with the opening question on the left hand side of the flow, consider the question boxes as they relate to the LCAP under review. Move from left to right. The flowcharts represent the entirety of the conditions for meeting each of the Three Approval Criteria. (Appendix A)

A “no” answer will lead to the Clarification Table (see following sections for more information).

1st Criteria for LCAP Approval: Adheres to the SBE Template

Criteria #1 Flow Chart contains the entirety of the process for determining adherence to the SBE Template.

1. Start on the left side of the page
2. Answer the question in the white box, *Start*
 - a. If yes, move to *Review All Template Sections*
 - b. If no, move to red box, *Basis for Disapproval*
 - i. Toggle to **Technical Assistance (a)**
3. Review all template sections
 - a. Answer the questions in Section 1: Stakeholder Engagement
 - i. If yes, continue moving from left to right. If yes to all, Section 1 adheres; move to Section 2
 - ii. If no to one or more questions in Section 1, toggle to corresponding row of **Clarification Table**
 - b. Answer the questions in Section 2: Goals & Progress Indicators
 - i. If yes, continue moving from left to right. If yes to all, Section 2 adheres; move to Section 3
 - ii. If no to one or more questions in Section 2, toggle to corresponding row of **Clarification Table**
 - c. Answer the questions in Section 3: Actions, Services & Expenditures
Be sure to follow both rows in Section 3
 - i. Moving from left to right, consider the question boxes in Section 3, Row 1
 1. If yes, continue moving from left to right. If yes to all, Row 1 of Section 3 adheres; move to Row 2
 2. If no to one or more questions in Row 1 questions, toggle to corresponding row of **Clarification Table**
 - ii. Moving from left to right, consider the question boxes in Row 2

1. If yes, continue moving from left to right. If yes to all, Row 2 of Section 3 adheres
- iii. If no to one or more questions in Row 2, toggle to corresponding row of **Clarification Table**
- iv. If both Rows 1 and 2 of Section 3 adhere, Section 3 adheres
4. If all sections adhere, LCAP meets the 1st Criteria for Approval
5. Proceed to **Flow Chart: 2nd Criteria**. If all sections do not adhere, LCAP does not meet the 1st Criteria for Approval
 - a. Toggle to **Technical Assistance**

2nd Criteria for LCAP Approval: Sufficient Expenditures

1. Start on the left side of the page
2. Begin with the white box, *Start*
3. Answer the question box
 - a. If yes, LCAP meets 2nd Criteria for Approval
 - b. If no, toggle to corresponding row of **Clarification Table**
4. Proceed to **Flow Chart: 3rd Criteria, Part 1**. If does not adhere, LCAP does not meet the 2nd Criteria for Approval:
 - a. Toggle to **Technical Assistance**

3rd Criteria for LCAP Approval: Adherence to Expenditure Regulations (Part 1)

1. Begin with the white box, *Start*
2. Moving from left to right, consider the questions in the first row
 - a. Verify district's estimated Supplemental and Concentration Grant amount
 - i. Use District's LCFF Calculator MP percentage tab (Step 5) or the district's LCFF calculation
 1. Request copy of district's LCFF Calculator estimate or district's LCFF calculation
 - b. Consider question of reasonability
 - i. If yes, adheres; move to next row
 - ii. If no, toggle to corresponding row of **Clarification Table**
3. Moving from left to right, consider the question boxes
 - a. If yes, continue moving from left to right. If yes to all, adheres; move to next row

- b. If no to one or more questions, toggle to corresponding row of **Clarification Table**
- 4. Moving from left to right, consider the first question
 - a. If no, there is no further requirement, adheres; move to next row
 - b. If yes:
 - i. Follow arrow up, continue moving from left to right, considering the remaining questions in row. If yes to all, adheres; move to next row
 - ii. If no to one or more, toggle to corresponding row of **Clarification Table**
- 5. Moving from left to right, consider the first question in the next row
 - a. If no, there is no further requirement, adheres
 - b. If yes:
 - i. Continue to move left to right, considering the questions in the row. If yes to all, adheres
 - ii. If no to one or more, toggle to corresponding row of **Clarification Table**
 - c. If all Rows of Part 1 adhere
 - d. Proceed to **Flowchart: 3rd Criteria for LCAP Approval (Part 2)**. If all rows of Part 1 do not adhere
 - i. Toggle to **Technical Assistance**

3rd Criteria for LCAP Approval: Adherence to Expenditure Regulations (Part 2)

- 1. Start on the left side of the page
- 2. Begin with the white **Start** box
- 3. Moving from left to right, consider the questions in the row
 - a. Verify minimum proportionality percentage
 - i. Use District's LCFF Calculator MP percentage tab (Step 7/8) or district's LCFF calculation
 - b. Consider question of percentage reasonability
 - i. If yes, row adheres; move to next row
 - ii. If no, toggle to corresponding row of **Clarification Table**

4. Consider the question box in row
 - a. If yes, adheres; move to next row
 - b. If no, toggle to corresponding row of **Clarification Table**
5. Moving from left to right, consider the question boxes in the next row
 - a. If yes, continue moving left to right. If yes to all, row adheres; move to next row
 - b. If no, toggle to corresponding row of **Clarification Table**
6. Moving from left to right, consider the question boxes in next row
 - a. If yes, continue moving left to right. If yes to all, row adheres
 - b. If no, toggle to corresponding row of **Clarification Table**
7. If all Rows of Parts 1 and 2 adhere, LCAP meets 3rd Criteria for Approval
8. If all rows of Parts 1 and 2 do not adhere, LCAP does not meet 3rd Criteria for Approval
 - a. Toggle to **Technical Assistance**

If Three Criteria for Approval are met, LCAP shall be approved by the county superintendent of schools [52070(d)]

Step by Step: Using the Clarification Table

In the instance of a “no” answer anywhere in the Criteria Approval Flowcharts (Appendix A), it is important to obtain clarification from a district regarding its LCAP.

Reviewers need to be satisfied with the information presented in the LCAP before determining if an LCAP meets the approval criteria.

1. In case of a “no” answer anywhere in the Criteria Approval Flowchart, toggle to the Clarification Table
2. Identify the Clarification Table row that corresponds with the Flowchart question box
3. Begin with the *Examples of Evidence* column
 - a. Considering the nature of the question and the examples listed, the LCAP review team can strategize to determine what department is best suited to seek initial clarification from district
 - b. Determine if communication (letter to the district’s governing board) is required
4. Through clarification process:
 - a. Determine who is the contact at the district
 - i. If satisfied with district clarification, return to Criteria Approval Flowchart
 - ii. If not satisfied with district clarification, written letter to district’s governing board is necessary
5. If communicating to district’s governing board (on or before August 15 [ED 52070(b)(c)]):
 - a. Determine comments and specifics to include in letter to board
 - b. Toggle to the **Template Index** for sample letters to district’s governing board (*still under development*)
 - c. Governing board has 15 days to respond in writing to clarification requests
 - d. Written recommendations for amendments to a district LCAP may be sent within 15 days of receiving the governing board’s response
 - e. Governing board may consider the recommendations in a public meeting within 15 days of receipt
 - i. If satisfied with district clarification, return to Criteria Approval Flowchart
 - ii. If not satisfied with district clarification, LCAP may not be approved

Technical Assistance [EC 52071(a)(1)]

Education Code details two kinds of support that shall be provided by the county superintendent.

1. The county superintendent shall provide technical assistance if the governing board of a school district requests technical assistance with respect to its LCAP. When requested by a district, the district pays for the cost of the technical assistance.
2. Additionally, the county superintendent shall provide technical assistance upon disapproval of a district's LCAP.

Technical assistance may include the assignment of an academic expert or experts and the identification of a district's strengths and weaknesses in regard to the state's priorities, including the review of effective, evidence-based programs that apply to the district's goals. The assistance of the California Collaborative for Educational Excellence (CCEE) may also be utilized, once established and available.

The strengths and weaknesses analysis is an additional, deeper review that does not itself form the basis for disapproval of the LCAP. The questions below are prompts for potential best practices of LCAP development. Yes answers to these questions may indicate a well-developed LCAP. Future technical assistance may utilize the evaluation rubric once adopted by the SBE.

Strengths & Weaknesses Analysis

What it is:

- Identification of a district's strengths and weakness in regard to the state priorities
- Encompasses a review of effective, evidence-based programs that apply to the district's goals

What it is not:

- May NOT form the basis of LCAP disapproval
 - Only the **Three Criteria** for approval shall be used for the basis of approval or disapproval

When it may be used:

- Upon disapproval of a district's LCAP
- Upon request for technical assistance from the governing board of a school district
- Communicated in writing to the district

Strengths/Weaknesses Evaluation:

- Section 1:
 - Is there evidence that the LEA addressed guiding questions in this section?
 - Did the LEA describe how it met statutory requirements for engagement?
 - Is there a clear connection between the process used, the input gathered and the use of input in the LCAP?
 - Does the LEA address input received but not used in the LCAP process?
- Section 2:
 - Is there evidence that the LEA addressed guiding questions in this section?
 - Is there evidence that the LEA has reviewed subgroups and schools individually when developing goals?
 - Are the metrics aligned to the goals? Would the metrics listed measure progress on each goal as stated?

- Are the metrics easy to understand/made available to stakeholders?
- Do the goals and priorities match up (i.e. is there a clear linkage between the statutory priority and the goal the LEA has identified as meeting that priority.)
- Are the goals relevant/needs-based/realistic?
- Section 3:
 - Is there evidence that the LEA addressed guiding questions in this section?
 - Are expenditures reasonable for listed actions/services?
 - Do actions/services appropriately relate to goals?
 - Do sections 3(C)and (D) reflect/draw from sections 3(A)and (B), where appropriate?
- Overall:
 - Is the LCAP readable/understandable to stakeholders
 - Are references to other plans/ data easily available

Chapter 4

Components of an LCAP

This chapter is intended to guide the reviewer through an LCAP by providing context and content for a fully completed LCAP.

Template Sections

There are three sections of the LCAP, which separate information into areas of Stakeholder Engagement, Goals and Progress Indicators, and Actions, Services and Expenditures. There are several Education Code requirements to be adhered to within each section of the template as well as instructions and guiding questions meant to prompt the thinking about that section. The data used (also referred to as metrics in the LCAP) must be consistent with the school accountability report card (SARC) where appropriate. For some goals and state priority areas, LEAs will use data that is more recent than the latest SARC.

Checking for the requirements to be fulfilled in each section might be completed by the same person doing the cursory review and additionally examined by the analytical reviewer. It is important to remember the guiding questions in the LCAP template do not necessarily need to be answered.

The guidance in this document is intended to assist county offices in the review process and help create consistent processes statewide.

Section 1: Stakeholder Engagement

Section 1 is to describe the process used to engage parents, pupils, and the community and how that engagement contributed to the development of the LCAP or the annual update. Meaningful engagement of parents, pupils and other stakeholders is critical to the LCAP and budget process.

The county office process for review of the district LCAPs will include finding evidence that these requirements were fulfilled. There are simply two free form boxes or columns in Section 1 for districts to use to describe the how stakeholders were engaged and the results or impact of that engagement on the LCAP.

Column 1 - Involvement Process

Provides description of actions the district used to obtain meaningful engagement. This description may include evidence such as dates of meetings, dates when surveys were distributed or made available, dates of consultations, and other pertinent facts to disclose all actions the district used to obtain meaningful engagement in the involvement process.

Column 2 - Impact on LCAP

Includes the input from the involvement process that is summarized and used in the district goals. The synthesized version of the input could include categories where similar types of input are included as goal areas. Districts might choose to include or describe the input that wasn't used in the current LCAP and will be set aside and considered in the future. This will locally recognize the valued input and create the placeholder for future planning.

Parent Advisory Committee

Education Code 52063(a)(1) requires districts to establish a Parent Advisory Committee that includes students as defined in 42238.01 (English learner, low income, and foster youth) to provide advice to the governing board and superintendent regarding Article 4.5, Local Control and Accountability Plans.

Education Code 52063(a)(3) does not require the governing board of the school district to establish a new parent advisory committee if it has already established a parent advisory committee that meets the requirements of this subdivision, including any committee established to meet the requirements of the federal No Child Left Behind Act of 2001.

Education Code 52062(a)(1) requires the superintendent to present the LCAP to the Parent Advisory Committee for review and comment. The superintendent shall respond, in writing, to comments received by the Parent Advisory Committee.

Public Notification

Education Code 52062(a)(3) requires the superintendent to notify members of the public of the opportunity to submit written comments regarding the specific actions and expenditures, using the most efficient method of notification possible. The district is not required to produce printed notices nor to send notices by mail; however, all written notifications related to the LCAP are to be provided consistent with the translation requirements in Education Code 48985.

English Learner Parent Advisory Committee

Education Code 52063(b)(1) states that the governing board of a school district shall establish an English Learner Parent Advisory committee if the enrollment of the school district includes at least 15 percent English learners and the school district enrolls at least 50 pupils who are English learners.

Education Code 52063(b)(2) does not require the governing board of the school district to establish a new English learner parent advisory committee if the governing board of the school district already has established a committee that meets the requirements of this subdivision.

Education Code 52062(a)(2) requires the superintendent to present the LCAP to the English learner parent advisory committee for review and comment. The superintendent shall respond, in writing, to comments received by the English Learner Parent Advisory Committee.

Consult

Education Code 52060(g) requires a district to consult with teachers, principals, administrators, other school personnel, local bargaining units of the district, parents and pupils in developing a local control and accountability plan. The provision does not require the superintendent to respond in writing to comments received during the consultation(s).

Public Hearing

After the stakeholder engagement activities and consultations to gather input to develop the LCAP and goals, pursuant to Education Code 52062(b)(1) the governing board shall hold at least one public hearing to solicit the recommendations and comments of members of the public regarding the specific actions and

expenditures proposed to be included in the LCAP or the annual update. The agenda for the public hearing shall be posted at least 72 hours before the public hearing and shall include the location of the hearing and where the proposed LCAP will be available for public inspection. The LCAP public hearing shall be held at the same meeting as the budget public hearing as required by 42127(a)(1).

The county office review will request evidence that the LCAP hearing notice was posted 72 hours before the meeting, that the LCAP was available for public inspection and the budget hearing was held at the same meeting. Such evidence might include the board meeting date(s), the date the LCAP was made available for public inspection, copies of the board meeting agenda, etc.

The county office review process might also include looking for evidence of sequential steps to ensure the meaningful engagement occurred. For example, the public hearing held by the governing board should not happen before the parent or English learner advisory input meetings.

Ethnic Subgroups and Other Groups

The meaningful engagement should include those representing the numerically significant subgroups identified in Education Code Section 52052. The subgroups are: ethnic subgroups, socioeconomically disadvantaged pupils, English learners and pupils with disabilities, and are considered numerically significant when there are 30 or more students in the subgroup. Foster youth are also listed as a subgroup and the threshold is lower, with 15 or more students constituting a subgroup.

The county office strengths and weaknesses review may include finding the identified/listed subgroups and evidence they were included in the involvement process. Again, the evidence might be the dates the subgroups were included in the meetings to gather input for the development of the district LCAP goal process.

Section 2: Goals and Progress Indicators

Section 2 of the LCAP is focused on the goals and progress indicators identified by the district. Districts are asked to list the data that led them to create each of their goals, whether the goal is designed for specific subgroups or schools, and how the district will measure progress toward the goals. For each goal, the district will list to which of the eight state priorities it is linked. The district also identifies a specific metric or metrics that will measure what is different or has improved in each of the next three years for students.

Goals may be combined to address more than one student group and/or more than one state priority when analysis of local data determines that the needs are similar. If a single goal requires longer than one year to implement fully, the LCAP should reflect the annual anticipated progress that the district expects to achieve for each student group. These annual benchmarks will assist LEAs and the community to monitor the progress of the plan.

There are eight columns in Section 2 that need to be completed for each 2014-15 goal. Below is a description of what is needed in each of the columns and some sample language for a unified school district.

Column 1 - Identified Need and Metric

Asks districts to identify the metric(s) connected to each of the goals they have created. For example, a district might find that the percentage of all students passing

the English language arts portion of the CAHSEE is lower than acceptable, and for English learners the pass rates are even lower. In Column 1, the district would write, “CAHSEE pass rates in ELA for all students in 2011, 2012, 2013.”

Column 2 - Description of Goal

Asks districts to describe the goal. Continuing with the same example, the district might identify its goal as “Increasing the ELA CAHSEE pass rate.”

Column 3 - Applicable Pupil Subgroups

Allows districts to specify which student subgroups as defined in Education Code 52052 will be the focus of the goal or if the goal will apply to all students. In this example, the district would write “All students.”

Column 4 - School(s) Affected

Allows districts to identify the entire district, or particular schools where the goal applies. In this example, the district would write “All high schools.” If a specific school or groups of schools are mentioned, the district is responsible for making sure that the school’s Single Plan for Student Achievement is aligned to the LCAP and includes specific mention of the areas where it is named in the LCAP.

Column 5 - Annual Update: Analysis of Progress

This section will be completed beginning in 2015-16. Its focus is on capturing the progress that was made in the previous year.

Columns 6, 7, & 8 - What will be Different/Improved for Students (based on identified metric)

Districts will provide outcomes that will be improved for students as a result of the goal. Column 6 is focused on 2014-15, Column 7 is focused on 2015-16 and Column 8 is focused on 2016-17. Some sample language for a district would be:

2014-15	2015-16	2016-17
CAHSEE pass rate in ELA will improve from/to	CAHSEE pass rate in ELA will improve from/to	CAHSEE pass rate in ELA will improve from/to

Column 9 - Related State and Local Priorities

Requires the district to link each of the eight priorities in Education Code 52060 to one of the district’s goals. One goal may be linked to multiple priorities but each priority is to be connected annually to at least one of the district’s goals. For this example, the following priorities could be used: “State Priorities 4 and 5.”

LCAP Template

Education Code 52060 states that the governing board of each shall school district shall adopt a local control accountability plan using the template approved by the SBE by July 1, 2014.

LCAP Approval

Education Code 52060 states that the adoption of the local control accountability plan by the governing board of the school district will be effective for three years and be updated on or before July 1 of each year.

LCAP Requirements - Goals

Education Code 52060 states that the district shall include a description of the goals for all pupils and each subgroup.

LCAP Requirements - Subgroups

Education Code 52052 defines a subgroup as 30 or more students in ethnic subgroups, socioeconomically disadvantaged pupils (as stated in Education Code 42238.01 based on eligibility for free and reduced priced meals), English learners, students with disabilities, and 15 or more foster youth students.

LCAP Requirements - Actions and Eight State Priorities

Education Code 52060 states that the LCAP shall include a description of the specific actions the school district will take each year to achieve the goals and that the actions cannot supersede the provisions of existing local collective bargaining agreements within the jurisdiction of the school district.

Education Code 52060(d) identifies eight state priorities that shall be addressed annually in the district's goals.

- Education Code 52060(d)(1) - Teachers are appropriately assigned and fully credentialed in the subject area for the pupils they teach, every pupil has sufficient access to standards-aligned instructional materials, and school facilities are maintained in good repair.
- Education Code 52060(d)(2) - Implementation of academic content and performance standards, including how the programs and services will enable English learners to access the common core academic content standards and the English language development standards to gain academic content knowledge and English language proficiency.
- Education Code 52060(d)(3) - Involvement of parents, including efforts the school district makes to seek parent input in making decisions for the school district and each individual school site, including how the school district will promote parental participation in programs for unduplicated pupils and individuals with exceptional needs.
- Education Code 52060(d)(4) - Pupil achievement, as measured by all of the following as applicable: statewide assessments, Academic Performance Index, percentage of students who have completed A-G requirements, programs of study that align with state board-approved career technical educational standards and frameworks, percentage of English learners who made progress toward English proficiency as measured by the CELDT, English learner reclassification rate, percentage of pupils who have passed an advancement placement test with a score of 3 or higher, percentage of pupils who participate in and demonstrate college preparedness as assessed in Early Assessment Program.
- Education Code 52060(d)(5) - Pupil engagement, as measured by all of the following as applicable: school attendance rates, chronic absenteeism rates, middle school dropout rates, high school dropout rates, and high school graduation rates.
- Education Code 52060(d)(6) - School climate, as measured by all of the following as applicable: pupil suspension rates, pupil expulsion rates, and other local measures of pupils, parents and teachers on the sense of safety and school connectedness.

- Education Code 52060(d)(7) - The extent to which pupils have access to, and are enrolled in, a broad course of study that includes all the subject areas listed for grades 1 to 6 in Education Code 51210 (English, mathematics, social science, science, visual and performing arts, health, physical education, and other studies as prescribed by the local governing board) and all the subject areas listed for grades 7 to 12 listed in Education Code 51220 (English, social science, foreign language, physical education, science, mathematics, visual and performing arts, applied arts, career technical education, automobile driver education and other studies as prescribed by the local governing board).
- Education Code 52060(d)(8) - Pupil outcomes in the subject areas listed in Education Code 51210 and Education Code 51220.

Education Code 64001(a) states that the district shall assure that the Single Plan for Pupil Achievement (for all schools identified in Column 4 of Section 2) has been prepared in accordance with law, that school site councils have developed and approved the school's Single Plan and that they were developed with the review, certification, and advice of any applicable school advisory committee.

Education Code 64001(h) states that the school district governing boards shall certify that, to the extent allowable under federal law, plans developed for purposes of this section are consistent with district local improvement plans.

Section 3: Actions, Services, and Expenditures

This is the section where a district links budgeted actions and expenditures to the goals set forth in Section 2. It is important to note the actions may describe a group of services. The actions and expenditures reflect details within a goal for the subgroups of EL, LI, FY, and other subgroups and school sites as applicable.

Education Code Section 52060 requires the LCAP to include a description of the specific actions a school district will take to meet the goals identified. If a single goal requires longer than one year to implement fully, the LCAP should reflect the annual incremental actions, services, and expenditures, as well as the annual anticipated progress, that the district expects to achieve for each student group.

Education Code Section 52060 (c)(2) states that an LCAP will describe annual goals and specific actions to achieve these goals. It also states that the specific actions shall not supersede the provisions of existing local collective bargaining agreements within the jurisdiction of the school district.

Education Code 52064 (b) requires the LCAP template to include the following:

- A listing and description of expenditures for the 2014-15 fiscal year and each year thereafter, implementing the specific actions included in the LCAP
- A listing and description of expenditures for the 2014-15 fiscal year and each year thereafter, that will serve low-income, English learner, foster youth and pupils re-designated as fluent English proficient

Section 3 contains four different areas, Sections A-D:

- Section A identifies actions and services that are being provided for ALL students, including identified pupils and specific school sites. The estimated amounts budgeted for

these actions and services are to be identified in each of the LCAP fiscal year columns. A description is required of where in the budget the amount is included.

- Section B identifies actions and services that will serve low-income, English learner, foster youth and pupils redesignated as fluent English proficient, specifically with a line for each demographic. The amount budgeted for these actions and services is to be identified in each of the LCAP fiscal year columns and a description is required of where in the budget the amount can be found.
- Section C contains three areas to be covered: 1) the amount of funds in the LCAP year attributable to the number and concentration of low-income, foster youth and English learner students, 2) how the district is expending these funds and 3) a description and justification of the use of any funds in a districtwide or schoolwide manner. (Districtwide and schoolwide usage of funds criteria follows below).
- Section D requires districts to demonstrate how the services provided in the LCAP year for low-income pupils, foster youth, and English learners provide for increased or improved services for these pupils, over and above services provided for all pupils, in proportion to the increase in funding provided for such pupils in that year. This is measured by the minimum proportionality percentage as calculated per CCR 15496(a), and may be calculated by using the LCFF Calculator or a district may provide its own calculation. Districts are to describe how the proportionality is met using a quantitative and/or qualitative description of the increased and/or improved services for identified pupils as compared to the services provided to all pupils.

It is important to keep in mind while reviewing section 3 that at first glance, the COE is not to make a judgment with regard to the probability of success of any specific action. The Education Code clearly states the COE review is to ensure the district followed the SBE-approved template in its LCAP preparation.

Section A/Section B

Districts use Section A to describe goals, services and expenditures that are to be carried out on a districtwide or schoolwide basis. When identifying districtwide or schoolwide goals for subgroups in Section B, there may be a correlation to districtwide or schoolwide descriptions in Section C, depending on funding source. This requirement is described below and in the California Code of Regulations [CCR 15496(b)] below.

A description of the detail to be included in each of the six columns follows. Sections A and B seek the same details about the goals, actions, services and expenditures in a district LCAP, with one distinction: Section A is for districtwide/schoolwide expenditures and Section B is where the detail of how specific goals, actions, services and expenditures will benefit identified pupils, by subgroup.

Column 1: Goal

This is where the district is to list **all** goals that were identified in Section 2.

Column 2: Related State and Local Priorities

This column includes the state and local priorities associated with the goals the district has set forth in Section 2.

Column 3: Actions and Services

Districts are directed in this column to explain what will be done to make progress on the goals related to the state and local priorities.

Column 4: Level of Service

This is where the district stipulates if the actions and services are to be provided for a specific school or for the entire district.

Column 5: Annual Update

For the 2014-15 review of district LCAPs, this column is not applicable.

Column 6: Anticipated Expenditures and Actions

The district is to include, by year, expenditures anticipated in relation to the actions and services listed in Column 3. Funding source and location in the budget is to be included in this column. It is important to note that districts can use any funding source to make progress on a goal, *including federal funds*.

Section C

This is where the district identifies the amount of LCFF attributable to unduplicated pupils (also referred to as supplemental and concentration grant funding). This can be confusing to districts that are basic aid or not receiving “new” funds. Under LCFF, **all** districts will have an amount of their entitlement attributable to identified pupils regardless of district funding type. This amount can be calculated using the LCFF Calculator, under the LCAP MP% Tab or a district may provide its own calculation.

The next required component of Section C is to describe how the district is spending the supplemental and concentration funding and if the funds are being used in a schoolwide or districtwide manner. This is different from the data presented in Sections A and B in that the amounts identified in Section C only represent the LCFF supplemental and concentration grant funding. Sections A and B **may** include funding from other non-LCFF sources to assist a district in meeting its goals.

Districtwide and Schoolwide Use of Funds

Section 15496 of the Emergency Regulations adopted by the SBE state that a district may use funds apportioned on the basis of the number and concentration of unduplicated pupils for districtwide or schoolwide purposes. Pursuant to Education Code Section 42238.07(a)(1), a district may demonstrate it has increased or improved services for unduplicated pupils under subdivision (b) of CCR 15496, by using funds to upgrade the entire educational program of a school site or a school district.

Section 15496(c) of the Emergency Regulations adopted by the SBE further state that the county superintendent of schools shall review any required descriptions provided for those expenditures of supplemental and concentration grant funds on a districtwide or schoolwide basis when the district has an enrollment of less than 55 percent or the school has an enrollment of less than 40 percent of unduplicated pupils in determining whether the district has fully demonstrated that it will increase or improve services for unduplicated pupils according to the minimum proportionality percentage.

For districtwide usage of funds, the following applies:

- Districts with an enrollment of unduplicated pupils in excess of 55 percent of the district’s total enrollment in the fiscal year for which an LCAP is adopted (or in the prior year) may expend supplemental and concentration grant funds on a districtwide basis.

The following two criteria shall be met:

- (A) Identify in the LCAP those services that are being provided districtwide.
- (B) Describe in the LCAP how such services are directed toward meeting the district's goals for its unduplicated pupils in the state priority areas.
- Districts with an enrollment of unduplicated pupils less than 55 percent of the district's total enrollment in the fiscal year for which an LCAP is adopted (or in the prior year) may expend supplemental and concentration grant funds on a districtwide basis. The following three criteria shall be met:
 - (A) Identify in the LCAP those services that are being provided districtwide.
 - (B) Describe in the LCAP how such services are directed toward meeting the district's goals for its unduplicated pupils in the state priority areas.
 - (C) Describe how these services are the most effective use of the funds to meet the district's goals for its unduplicated pupils in the state priority areas.

For schoolwide usage, the following law applies:

- Schools with an enrollment of unduplicated pupils in excess of 40 percent of the school's total enrollment in the fiscal year for which an LCAP is adopted (or in the prior year) may expend supplemental and concentration grant funds on a schoolwide basis. The following two criteria shall be met:
 - (A) Identify in the LCAP those services that are being provided schoolwide.
 - (B) Describe in the LCAP how such services are directed toward meeting the district's goals for its unduplicated pupils in the state priority areas.
- Schools with an enrollment of unduplicated pupils less than 40 percent of the school's total enrollment in the fiscal year for which an LCAP is adopted (or in the prior year) may expend supplemental and concentration grant funds on a schoolwide basis. The following three criteria shall be met:
 - (A) Identify in the LCAP those services that are being provided schoolwide.
 - (B) Describe in the LCAP how such services are directed toward meeting the district's goals for its unduplicated pupils in the state priority areas.
 - (C) Describe how these services are the most effective use of the funds to meet the district's goals for its unduplicated pupils in the state priority areas.

Section D

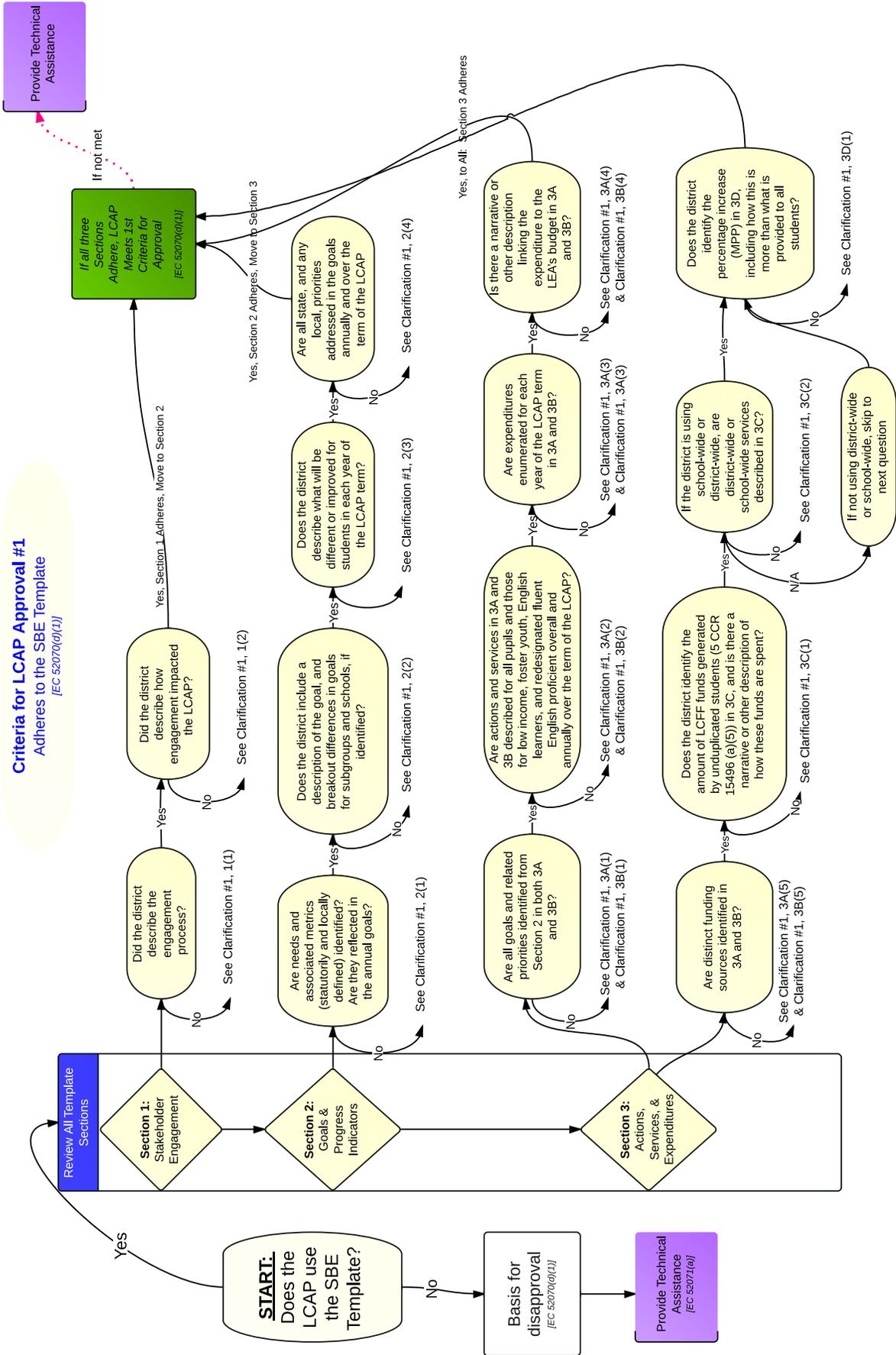
- Districts will, in this part, take the information from the minimum proportionality percentage (MPP) calculation and describe how the identified students are receiving services *above* what is being provided for the general student population. This can be demonstrated quantitatively or qualitatively. Districts will identify a percentage with the explanation to describe how the district is meeting the LCAP MPP requirement. It is important to note that this is not a year-over-year comparison; rather, it is a glance at what the district is doing in the LCAP year only.

Appendices

Appendix A - LCAP Approval Flow Charts

Appendix B - Clarification Tables

Appendix C - Master Checklist



Criteria for LCAP Approval #2
Sufficient Expenditures
[EC 52070(d)(2)]

Budget for the fiscal year includes expenditures sufficient to implement specific actions and strategies included in the LCAP, based on the projection of costs included in the plan.

Provide Technical Assistance

If yes, LCAP Meets 2nd Criteria for Approval [EC 52070(d)(2)]

If not met,

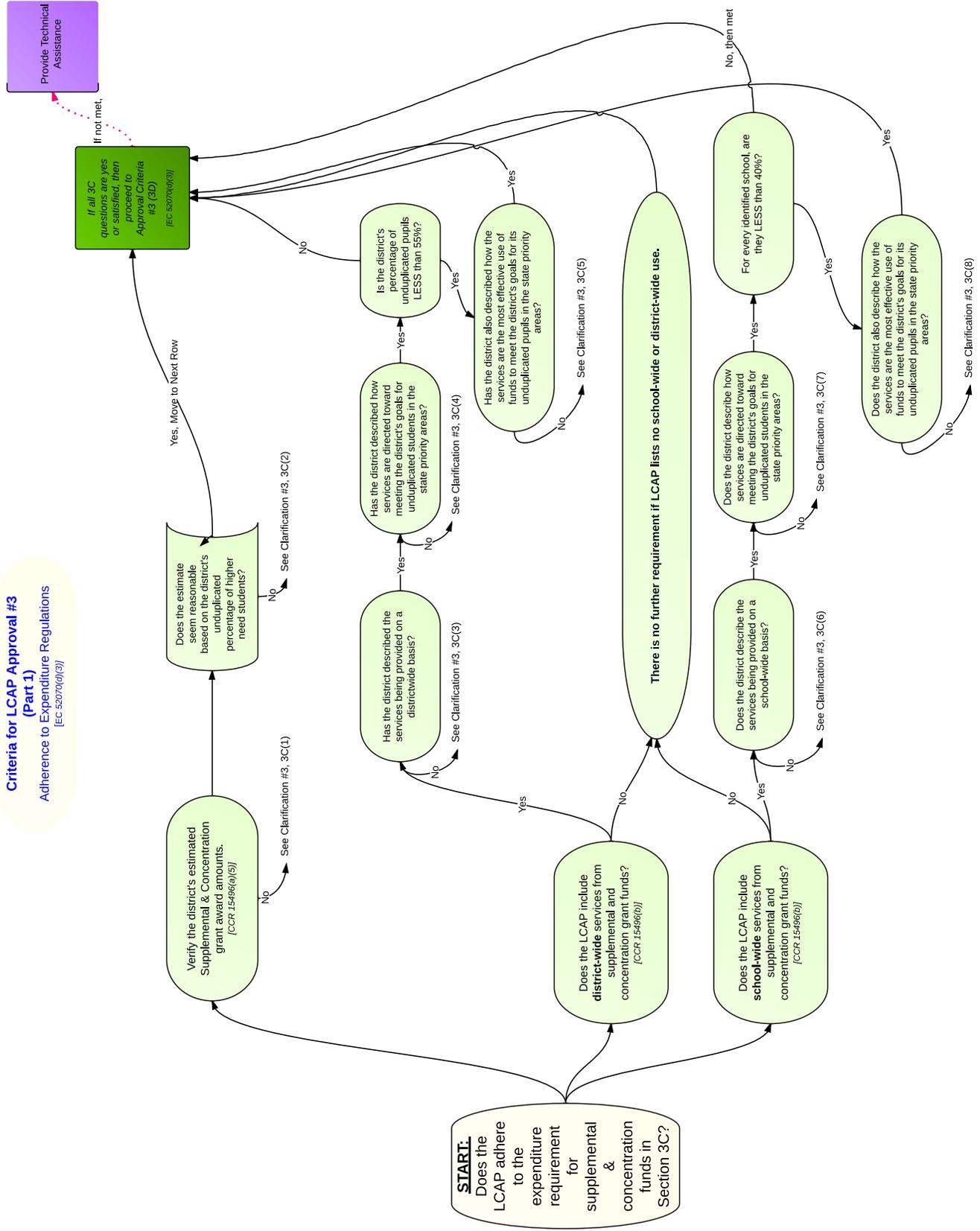
START:
Does the 2014-15 budget include sufficient expenditures to implement the LCAP goals & actions?

Given the expenditures listed under 2014-15, and the source of funding provided, is it reasonable or plausible to conclude that the budget includes these expenditures?

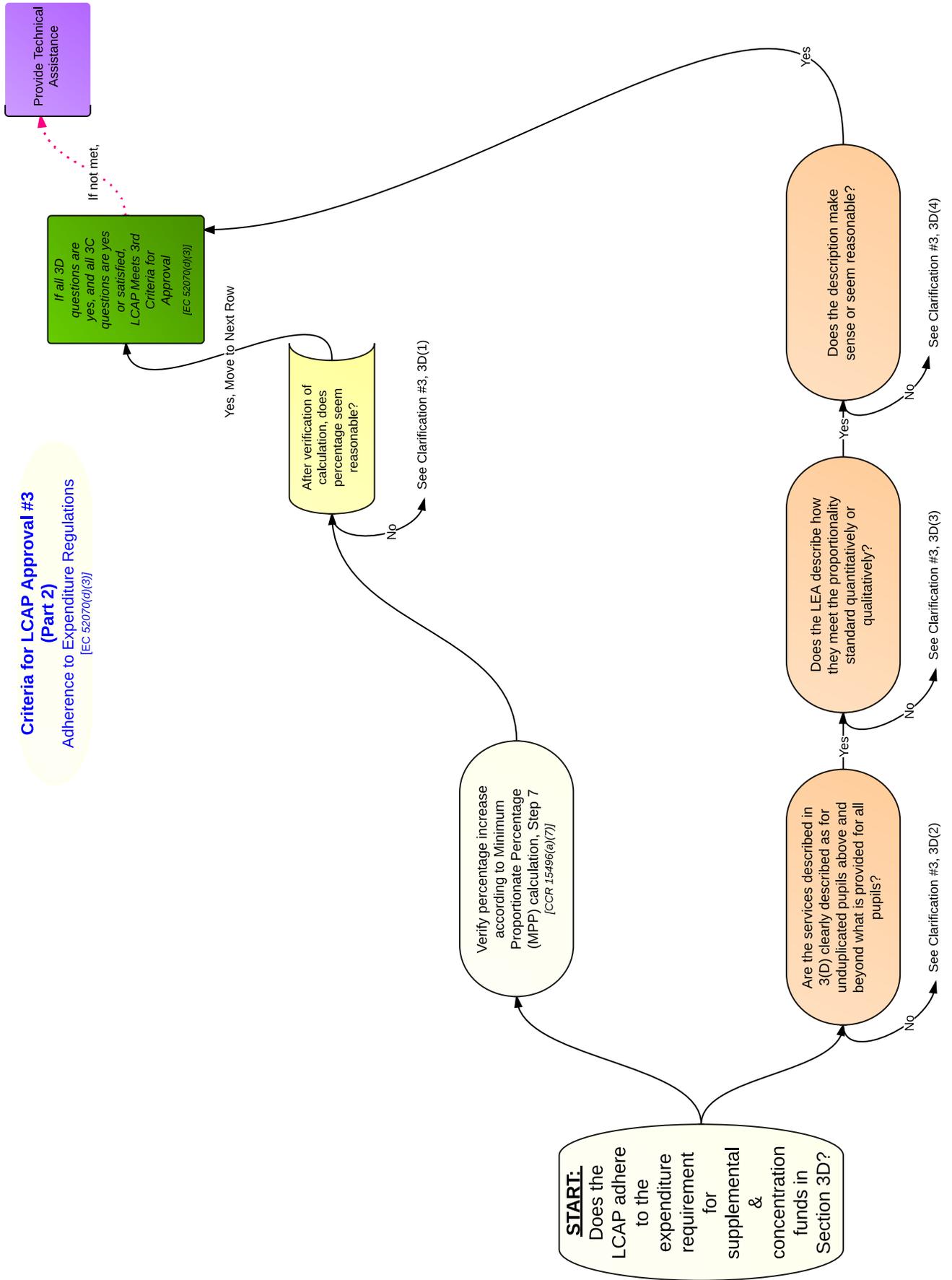
No

Yes

See Clarification #2, (1)



Criteria for LCAP Approval #3 (Part 1)
Adherence to Expenditure Regulations
[EC 52070(a)(3)]



Clarification Table - Approval #1, Section 1						
Education Code 52070 (d)(1) The local control and accountability plan or annual update to the local control and accountability plan adheres to the template adopted by the state board pursuant to Section 52064						
For further background on examples of evidence, refer to Chapter 4, Components of a LCAP						
Criteria # Flow Chart Ref #	Examples of Evidence	Optional Type of Review Fiscal C & I	District Name:		Comments & specifics to include in letter to board	Template # #
			Reviewer(s)	Notes/Observations		
#1, 1(1)	<p><i>Note: Evidence for approval criteria #1 is not a judgment of content but rather an assessment of whether the district adhered to this portion of the SBE Template</i></p> <p>LCAP may capture evidence that includes stakeholder meeting dates, response to written comments dates and dates or description of surveys, public hearing dates, and other stakeholder outreach strategies that contain pertinent facts that describe actions the district used to obtain meaningful engagement. [Ed. Code 52062(a)(1)(2)(3), 52062(b)(1)(2), 52060(g)].</p>					
#1, 1(2)	<p>LCAP may include input from the involvement process, summarized and used in district goals. The synthesized version of the input could include categories where similar types of input are included as goal areas. Districts might also choose to include or describe the input that wasn't used in the current LCAP and will be set aside and considered in the future.</p>					

Clarification Table - Approval #1, Section 2											
Education Code 52070 (d)(1) The local control and accountability plan or annual update to the local control and accountability plan adheres to the template adopted by the state board pursuant to Section 52064											
For further background on examples of evidence, refer to Chapter 4, Components of a LCAP											
Criteria #	Flow Chart Ref #	Examples of Evidence	Optional		District Name:			Reviewer(s)	Notes/Observations	Comments & specifics to include in letter to board	Template # _____
			Type of Review	C & I	Fiscal	C & I					
# 1, 2(1)		Identifies need and the associated metric (Column 1) that will be used to measure progress in meeting goals.									
# 1, 2(2)		Goals are clearly described and differences in goals for subgroups and schools are identified (Columns 3 and 4).									
# 1, 2(3)		Uses the same metric (from Column 1) to measure what will be different or improved for students (Columns 6, 7, 8).									
# 1, 2(4)		All 8 state priorities are included (Column 9) as they support the district's goals. [Ed. Code 52060]									

Note: Evidence for approval criteria #1 is not a judgment of content but rather an assessment of whether the district adhered to this portion of the SBE Template

Section 2: Goals and Progress Indicators



Clarification Table, Approval #1. - Section 3A

Education Code 52070 (d)(1) The local control and accountability plan or annual update to the local control and accountability plan adheres to the template adopted by the state board pursuant to Section 52064

For further background on examples of evidence, refer to Chapter 4, Components of a LCAP

Criteria # Flow Chart Ref #	Examples of Evidence	Optional		Reviewer(s)	Notes/Observations	Comments & specifics to include in letter to board	Template # # ____
		Type of Review	C & I				
#1, 3A(1)	Goals listed in Section 2 (Column 2) are included in Section 3A (Column 1). The related state priorities from Section 2 (Column 9) are listed in Section 3A (Column 2).						
#1, 3A(2)	Actions and Services (Column 3) are included for each of the listed goals for all students and/or specific to subgroups of students identified in Ed. Code section 52052, other than those listed in Section 3B.						
#1, 3A(3)	A description of the expenditures is listed for actions and or services in each year of the LCAP term (Columns 6, 7, and 8).						
#1, 3A(4)	The district has listed where those expenditures can be found in the budget.						
#1, 3A(5)	A description of the funding source for the expenditures listed in each of the three years (Columns 6, 7, and 8) is provided.						

Section 3: Actions, Services and Expenditures
Part A

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
Goal (includes and identifies all goals from Section 2)	Related Services and Priorities (from Section 2)	Actions and Services	Level of Service (wide or narrow/ Ed-wide)	Annual Budget	What actions are performed or services provided in each year (and are projected to be provided in years 2 and 3)? What are the anticipated expenditures for each action (including funding source)?	LCAP year	LCAP year
						Year 1: 2014-15	Year 2: 2015-16
						Year 3: 2016-17	

Clarification Table, Approval #1 - Section 3B

Education Code 52070 (d)(1) The local control and accountability plan or annual update to the local control and accountability plan adheres to the template adopted by the state board pursuant to Section 52064

For further background on examples of evidence, refer to Chapter 4, Components of a LCAP

Criteria # Flow Chart Ref #	Examples of Evidence	Optional		Reviewer(s)	Notes/Observations	Comments & specifics to include in letter to board # ____	Template # ____
		Type of Review					
		Fiscal	C & I				
#1, 3B(1)	Goals listed in Section 2 (Column 2) are included in Section 3B (Column 1). The related state priorities from Section 2 (Column 9) are listed in Section 3B (Column 2).						
#1, 3B(2)	Actions and services are addressed for low income, foster youth, English learners, and redesignated fluent English proficient for each goal (Column 3).						
#1, 3B(3)	A description of the expenditures is listed for actions and or services in each year of the LCAP term (Columns 6, 7, and 8).						
#1, 3B(4)	The district has listed where those expenditures can be found in the budget.						
#1, 3B(5)	A description of the funding source for the expenditures listed in each of the three years (Columns 6, 7, and 8) is provided.						

Section 3: Actions, Services and Expenditures

Part B

Goal	Cal 1	Cal 2	Cal 3	Cal 4	Cal 5
Goal 1: State and Local Priorities (Section 2)	For New Income	For English Learners	For Foster Youth	For Redesignated Fluent English Proficient	For Other
Goal 2: State and Local Priorities (Section 2)	For New Income	For English Learners	For Foster Youth	For Redesignated Fluent English Proficient	For Other
Goal 3: State and Local Priorities (Section 2)	For New Income	For English Learners	For Foster Youth	For Redesignated Fluent English Proficient	For Other
Goal 4: State and Local Priorities (Section 2)	For New Income	For English Learners	For Foster Youth	For Redesignated Fluent English Proficient	For Other
Goal 5: State and Local Priorities (Section 2)	For New Income	For English Learners	For Foster Youth	For Redesignated Fluent English Proficient	For Other

Clarification Table, Approval #1 - Section 3C, 3D										
Education Code 52070 (d)(1) The local control and accountability plan or annual update to the local control and accountability plan adheres to the template adopted by the state board pursuant to Section 52064										
For further background on examples of evidence, refer to Chapter 4, Components of a LCAP										
Criteria # Flow Chart Ref #	Examples of Evidence	Optional		District Name:			Notes/Observations	Reviewer(s)	Comments & specifics to include in letter to board	Template # ___
		Fiscal	C & I	Reviewer(s)	Notes/Observations					
#1, 3C(1)	The LCAP identifies the amount of LCFF funds generated by the unduplicated students [5 CCR 15496 (a)(5)] and includes a narrative or other description of how these funds are spent.									
#1, 3C(2)	If the LCAP lists the expenditures as schoolwide or districtwide in Section 3A and 3B (Column 4), the district includes justification for schoolwide or districtwide use.									
#1, 3D(1)	The LCAP identifies the minimum proportionality percentage increase and how this results in increased or improved services for the unduplicated students above and beyond what is provided to all students.									

Clarification Table, Approval #2

Education Code 52070 (d)(2) The budget for the applicable fiscal year adopted by the governing board of the school district includes expenditures sufficient to implement the specific actions and strategies included in the local control and accountability plan adopted by the governing board of the school district based on the projections of the costs included in the plan.

Criteria Flow Chart Ref #	Examples of Evidence	Optional			District Name:		Template #
		Type of Review	Review(s)	Notes/Observations	Comments & specifics to include in letter to board		
#2, (1)	The adopted budget includes expenditures sufficient to implement the specific actions based on the projection of costs listed in the LCAP in Section 3A and 3B (Column 6).	Fiscal					#_____

Clarification Table, Approval #3, Part 1

Education Code 52070 (d)(3) The local control and accountability plan or annual update to the local control and accountability plan adheres to the expenditure requirements adopted pursuant to Section 42238.07 for the funds apportioned on the basis of the number and concentration of unduplicated pupils pursuant to Sections 42238.02 and 42238.03

For further background on examples of evidence, refer to Chapter 4, Components of a LCAP; Section 3: Actions, Services, and Expenditures (Section 3C)

Criteria # Flow Chart Ref #	Examples of Evidence	Optional Type of Review		District Name:			Comments & specifics to include in letter to board	Template # # ____
		Fiscal	C & I	Reviewer(s)	Notes/Observations			
#3, 3C(1)	The LCAP includes the dollar amount of the increase, as calculated in Step 5 of the regulations [CCR 15496(a)], as may be verified through the LCFF Calculator							
#3, 3C(2)	The LCAP's estimated calculation of Step 5 of the regulations (CCR 15496(a)) is reasonable considering the district's unduplicated percentage of pupils							
#3, 3C(3)	The LCAP identifies the districtwide services in Section 3C, if any							
#3, 3C(4)	The LCAP describes in Section 3C how districtwide services are directed to meeting the district's goals for the unduplicated students in the state priority areas.							
#3, 3C(5)	The LCAP includes a description in Section 3C of how districtwide services are the most effective use of the supplemental and concentration grant increase for unduplicated students in the meeting the state's priorities.							
#3, 3C(6)	The LCAP identifies the schoolwide services in Section 3C, if any							
#3, 3C(7)	The LCAP describes in Section 3C how schoolwide services are directed to meeting the district's goals for the unduplicated students in the state priority areas.							

Clarification Table, Approval #3, Part 1						
Education Code 52070 (d)(3) The local control and accountability plan or annual update to the local control and accountability plan adheres to the expenditure requirements adopted pursuant to Section 42238.07 for the funds apportioned on the basis of the number and concentration of unduplicated pupils pursuant to Sections 42238.02 and 42238.03						
<i>For further background on examples of evidence, refer to Chapter 4, Components of a LCAP; Section 3: Actions, Services, and Expenditures (Section 3C)</i>						
Criteria # Flow Chart Ref #	Examples of Evidence	Optional		District Name:		Template # #___
		Type of Review	Reviewer(s)	Notes/Observations	Comments & specifics to include in letter to board	
	Fiscal	C & I				
#3, 3C(8)	If any identified school has less than 40% higher need students, the LCAP includes a description in Section 3C of how schoolwide services are the most effective use of the supplemental and concentration grant increase for unduplicated students in the meeting the state's priorities.					

Clarification Table, Approval #3, Part 2									
Education Code 52070 (d)(3) The local control and accountability plan or annual update to the local control and accountability plan adheres to the expenditure requirements adopted pursuant to Section 42238.07 for the funds apportioned on the basis of the number and concentration of unduplicated pupils pursuant to Sections									
<i>For further background on examples of evidence, refer to Chapter 4, Components of a LCAP; Section 3: Actions, Services, and Expenditures (Section 3D)</i>									
Criteria # Flow Chart Ref #	Examples of Evidence	Optional		District Name:			Notes/Observations	Comments & specifics to include in letter to board	Template # ___ # ___
		Fiscal	C & I	Reviewer(s)					
#3, 3D(1)	The LCAP's estimated calculation percentage seems reasonable. District may provide calculations using the MP% Tab of the LCFF Calculator.								
#3, 3D(2)	The LCAP provides a description of services that are clearly above the services provided for all students								
#3, 3D(3)	The LCAP provides either a qualitative or quantitative description of the proportional increase in services.								
#3, 3D(4)	The LCAP qualitative or quantitative description appears reasonable; the description describes services for unduplicated students.								

REVIEWER'S GUIDE MASTER CHECKLIST								
LCAP Adheres to 1st Approval Criteria		LCAP Approval Criteria	Reviewer's Guide	Yes	No	N/A	Reviewer(s)	Notes
Yes	No							
		#1: Adheres to SBE Template	All questions are answered "yes" or "satisfied" on Criteria Approval Flowchart					
			Any questions answered "no" or "unsatisfied" have been mapped through the Clarification Table					
			Written clarification communication provided to the governing board					
			If Criteria not met, Technical Assistance has been provided					
LCAP Adheres to 2nd Approval Criteria		LCAP Approval Criteria	Reviewer's Guide	Yes	No	N/A	Reviewer(s)	Notes
Yes	No							
		#2: Sufficient Expenditures	All questions are answered "yes" or "satisfied" on Criteria Approval Flowchart					
			Any questions answered "no" or "unsatisfied" have been mapped through the Clarification Table					
			Written clarification communication provided to the governing board					
			If Criteria not met, Technical Assistance has been provided					
LCAP Adheres to 3rd Approval Criteria		LCAP Approval Criteria	Reviewer's Guide	Yes	No	N/A	Reviewer(s)	Notes
Yes	No							
		#3: Adheres to Expenditure Regulations (Parts 1 & 2)	All questions are answered "yes" or "satisfied" on Criteria Approval Flowchart					
			Any questions answered "no" or "unsatisfied" have been mapped through the Clarification Table					
			Written clarification communication provided to the governing board					
			If Criteria not met, Technical Assistance has been provided					

Name of District

Approved, All Three Criteria Are Met

LCAP Disapproved *Provide Technical Assistance where needed*