



# TITLE IV, PART A HANDBOOK

STUDENT SUPPORT AND ACADEMIC  
ENRICHMENT



**OKLAHOMA**  
Education



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## INTRODUCTION

The Every Student Succeeds Act (ESSA) was signed into law in December 2015, which reauthorized the Elementary and Secondary Education Act of 1965 (ESEA).

The newly authorized under subpart 1 of Title IV, Part A of the ESEA is the Student Support and Academic Enrichment (SSAE) program. The SSAE program provides State Educational Agencies (SEAs), Local Educational Agencies (LEAs), and schools the flexibility to tailor investments based on the needs of their unique student populations. While focusing on these three areas Well Rounded, Safe and Healthy, and Educational Technology.

## CHAPTER 1: The Focus Areas in Title IV, Part A

The purpose of this subpart is to improve students' academic achievement by increasing the capacity of States, local educational agencies, schools, and local communities.

### 1.1 Well-Rounded (WR) [ESEA, Section 4107]

To provide all students with access to a Well-Rounded (WR) education which may include:

- (A) Access to all Core and/or Beyond the Core Curriculums (Fine Arts, Foreign Languages, Health, and Physical Education)
- (B) College and Career Counseling
- (C) Social Emotional Learning
- (D) Advanced Placement opportunities (AP Exams for low-income students)
- (E) Supplementary endorsements (STEM, ESOL, Gifted)

### 1.2 Safe and Healthy (SH) [ESEA, Section 4108]

To improve school conditions for student learning (SH or “safe and healthy”) which may include:

- (A) Parent engagement
- (B) School-based mental health services
- (C) Reduction of exclusionary discipline
- (D) Promoting positive climate and culture
- (E) Nutritional and/or healthy lifestyle; active lifestyle habits

- (F) Awareness and prevention education for risk behaviors
- (G) Trauma-informed practices
- (H) Mentoring
- (I) Dropout programming/Re-entry
- (J) Skills to improve safely recognizing coercion, violence, or abuse
- (K) Establishing community partnerships

### **1.3 Educational Technology (ET) [ESEA, Section 4109]**

If the LEA allocation is \$30,000 or greater, a portion of the SSAE program funds must be used for increasing the use of technology in order to improve the academic achievement and digital literacy of all students (ET or “educational technology”).

A Special Rule in the SSAE program states that no more than 15 percent of funds for activities to support the effective use of technology may be used "for purchasing technology infrastructure as described in subsection (a)(2)(B), which includes technology infrastructure purchased for the activities under subsection (a)(4)(A)." To clarify, no more than 15 percent of funding may be spent in this content area on devices, equipment, software applications, platforms, digital instructional resources and/or other one-time IT purchases. [ESEA section 4109(b)]

Student Support and Academic Enrichment Non-regulatory Guidance clarifies that, in addition to purchases for technology infrastructure, at least 85% of funds may be used to support a variety of professional development (PD) activities. Specifically, the SSAE program funds may be used to provide educators, school leaders, and administrators with the professional learning (PL) tools, devices, content and resources to do the following activities, among other allowable uses:

- (A) Provide personalized learning through:
  - (i) STEM/STEAM PD/PL;
  - (ii) Computer Science PD/PL;
  - (iii) PD/PL that uses technology to impact student achievement via the development of personalized/blended learning programs;
- (B) Discover/adapt/share educational resources;
- (C) Computerized assessments;
- (D) Inform/collaborate instructional strategies with web-based data;
- (E) Digital learning technologies;

- (F) Assistive technology;
- (G) Infrastructure (equipment, software, applications, platforms, digital instructional resources, one-time IT purchases)—15% cap on spending [ESEA Sec. 4109(b)]

## CHAPTER 2: Fiscal

### 2.1 Allocation of Funds to LEAs

Oklahoma allocates Title IV, Part A funds to LEAs on a formula basis. The formula is outlined in the ESSA, the minimum allocation is \$10,000.00.

### 2.2 Budgeting Funds by LEAs

Consolidated applications are due to the Oklahoma State Department of Education September 30<sup>th</sup> of each year. The Office of Federal Programs' goal is to review each LEA's consolidated application within 2 weeks of submission. LEAs are encouraged to submit amendments to reflect its current condition.

Application amendments are accepted prior to June 29<sup>th</sup> to ensure that programs identified as priorities in the Consolidated Application can be fully implemented as planned.

### 2.3 Transferability

LEAs may transfer up to 100% of funds from Title IV, Part A to Title I-Part A, Title I-Part C, Title I-Part D, Title II-Part A, Title III-Part A, and Title V-Part A. In order to transfer funds, the intent to transfer must be articulated in the Allocation page of the Consolidated Application. Once funds are transferred, they cannot be moved back.

When transferring funds from Title IV, Part A to another program, the LEA is required to indicate this information in the Comprehensive Needs Assessment as part of its consultation, so that stakeholders are aware of and approve of the plan to transfer. If the LEA did not originally plan to transfer funds, and priorities or needs changed after the Comprehensive Needs Assessment was approved by consultation group, the LEA should communicate its revised plan to adjust the utilization of Title IV, Part A funds to its stakeholders and community-based partners, and amend the Comprehensive Needs Assessment.

*Note: Even though all Title IV, Part A funds are transferred into another Title program, a consultation meeting needs to take place with stakeholders. Also, if allocation is over*

*\$30,000, the Comprehensive Needs Assessment page within the Title IV, Part A application needs to be completed as well.*

## **2.4 Carryover**

Title IV, Part A allows 100% carryover; however, there are several caveats.

LEAs may obligate Title IV, Part A funds during the federal fiscal year for which the funds were appropriated and during the succeeding federal fiscal year for a total period of 27 months of availability. However, LEAs are required to meet Title IV, Part A statute minimums during the fiscal year of allocation [ESEA, Section 4103(b)(2) and Section 4104(a)].

LEAs that received an allocation of less than \$30,000 must have expended funds in at least one focus area. LEAs that received more than \$30,000 must have expended funds in all three focus areas. In the event that an LEA did not meet the required expenditure minimums in one or more focus areas for the fiscal year, the dollar amount that was not spent as required must be added to the next fiscal year's proportionate focus area.

# **CHAPTER 3: Programmatic Specifics to Title IV, Part A**

## **3.1 Comprehensive Needs Assessment**

The Elementary and Secondary Education Act of 1965 (ESEA) as reauthorized by the Every Student Succeeds Act of 2015 (ESSA) requires that an LEA receiving Title IV, Part A funds of at least \$30,000.00 must submit a Comprehensive Needs Assessment plan for the intended use of these funds to the SEA.

Due to the unique flexibility of Title IV, Part A, LEAs and schools should delve more deeply into the root causes of deficiencies to identify needs and develop initiatives/interventions designed to provide all students with access to a well-rounded education, improve school conditions for student learning, and improve the use of technology in order to improve the academic achievement and digital literacy of all students to determine specific needs.

## **3.2 Prioritizing the Distribution of Funds**

Each LEA establishes how it will prioritize the distribution of its Title IV, Part A allocation via the Consolidated Application [ESEA, Section 4106(e)(2)(A)]. Clarity is essential to determining allocability, allowability, prioritization and focus area, including a description

from the LEA that needs are identified, and prioritization of funds occurred. For these LEAs, the aforementioned criteria will be established by the LEA via their strategic plan, District Improvement Plan, individual Schoolwide Plan, intent and purpose statement and/or charter system contract. In some cases, the Title IV, Part A specialist may ask for additional details from these documents during the budget review process.

It is incumbent upon the LEA to clearly identify and articulate its needs by way of analyzing various data sources (to include data derived from progress monitoring and logic models), trends and patterns, and potential root causes. Furthermore, actionable measures must be corroborated by the findings and evidence based interventions/ initiatives/ activities/ programming must be planned for implementation.

A key concept to remember is that LEAs receiving more than \$30,000 must evaluate, determine and prioritize needs and annotate actionable measures for all three of the Title IV, Part A focus areas (WR/SH/ET). LEAs receiving less than this amount are required to address only one of the three focus areas, but can address all three areas, if they wish. Initiatives/activities/interventions identified in the CNA and addressed in the Consolidated Application must be followed.

Under ESEA, Section 4106(2)(A), LEAs must assure that they will:

- (A) Prioritize the distribution of funds to schools based on one or more of the following criteria—
  - (i) Are among the schools with the greatest needs;
  - (ii) Have the highest percentages or numbers of low-income children/families;
  - (iii) Are identified for comprehensive support and improvement;
  - (iv) Are implementing targeted support and improvement plans, or
  - (v) Are identified as a persistently dangerous public elementary school or secondary school.
- (B) For an LEA that receives \$30,000 or more, funds must be distributed to support **each** of the three focus areas—
  - (i) For an LEA that receives less than \$30,000, funds must be distributed to support **at least one** of the three focus areas—
    - (a) Activities/interventions pertaining to well-rounded educational opportunities;
    - (b) Activities/interventions pertaining to safe and healthy students;
    - (c) Activities/interventions pertaining to the effective use of technology via professional development/training.



(C) Private School—In support of initiatives/activities/interventions addressed during initial Evidence-Based Initiatives/Activities/Interventions

LEAs must select relevant, evidence-based activities. The evidence-based activities must address identified needs and the district should have the capacity to implement the activity or intervention.

Special Note - Schools identified for comprehensive or targeted support and improvement must develop a plan which includes evidence-based interventions. [Section 1111 (d)(1)(B)(ii) & Section 1111(d)(2)(B)(ii)].

FLEXIBILITY OF SSAE FUNDS—Due to the unique flexibility afforded by the statute, an LEA may elect to utilize a logic model as the evidence base. The logic model should use prior research or data from performance monitoring to provide support that the activity is likely to improve the relevant outcome. Consider if the potential outcome of the activity justifies its costs and how will the selected evidence-based program or activity be sustained over time. Successful plans contain several essential components: well-defined, measurable goals; clearly outlined roles and responsibilities; identified resources; a process to monitor implementation; and an outreach strategy.

### 3.3 Continuous Consultation

In general, an LEA or consortium of such agencies, shall develop its application through consultation with parents, teachers, principals, other school leaders, specialized instructional support personnel, students, community-based organizations, local government representatives (which may include a local law enforcement agency, local juvenile court, local child welfare agency, or local public housing agency), Indian tribes or tribal organizations that may be located in the region served by the local educational agency (where applicable), charter school teachers, principals, and other school leaders (if such agency or consortium of such agencies supports charter schools), and others with relevant and demonstrated expertise in programs and activities designed to meet the purpose of this subpart.

The local educational agency, or consortium of such agencies, shall engage in continuous consultation with the entities previously described in order to improve the local activities in order to meet the purpose of this subpart and to coordinate such implementation with other related strategies, programs, and activities being conducted in the community. [ESSA, Section 4106 (c)(1)(2)] Consultation is required even if the LEA or consortium transfers all Title IV, Part A funds to another Title program.

## CHAPTER 4: Supplement Not Supplant

LEAs may not use SSAE program funds for the cost of activities in the three SSAE program content areas – well-rounded education, safe and healthy students, and technology – if the cost of those activities would have otherwise been paid with State or local funds in the absence of SSAE program funds. An LEA may overcome a presumption of supplanting if it has written documentation (e.g., State or local legislative action, budget information, or other materials) that it does not have the funds necessary to implement the activity and that the activity would not be carried out in the absence of the SSAE program funds.

## CHAPTER 5: Equitable Services

Equitable services are provided to private schools when the entity has established non-profit status (documentation must be provided annually), is located within the physical boundaries of the LEA, has notified the LEA within the established timeframe of the intent to participate in the Title IV, Part A program, and has participated in initial/on-going consultations as required.

## CHAPTER 6: Uses of Funds

### 6.1 Well-Rounded (WR) [ESEA, Section 4107]

#### Consultants

Consultant fees **are allowed** under ESSA, Section 4107 of Title IV, Part A. See the consultant definition at the end of this document.

#### Curriculum materials

Curriculum materials aligned to state standards, including *software subscriptions or licenses* to use online programs, **are allowable** purchases from Title IV, Part A funds under ESSA, Section 4107. *Software applications* (such as Microsoft Office, Adobe Reader, Apps etc.), which the LEA will own, will fall under the 15 percent infrastructure limit of ESSA, Section 4109.

## Field trips

Educational field trips that will increase students' access to real-world, hands-on STEM experiences and other well-rounded activities **are allowable** purchases from Title IV, Part A funds under ESSA, Section 4107. Lesson plans for the field trip that will support an instructional activity shall be submitted in the Supporting Documentation section of the Consolidated Application.

## Music teachers and musical instruments

In order to meet graduation requirements, Oklahoma Statute O.S. 210:35-9-31-7 requires high schools to offer one (1) unit or set of competencies of (A) Fine arts such as music, art, or drama; or (B) Speech.

If a high school offers another elective in the Fine Arts Department (such as art, drama, or speech) for meeting graduation requirements, then music is considered supplemental, and it **will be allowable** to pay the salary of a music teacher or musical instruments (such as pianos, violins, drums, etc.) for a *new* band or orchestra class from Title IV, Part A funds. Otherwise, it is considered supplanting.

There are no specific standards for accreditation requirements regarding music in elementary or middle schools. Therefore, paying the salary of a *new* music teacher or purchasing *new* musical instruments in elementary or middle schools **is an allowable purchase** from Title IV, Part A funds.

*Replacing* musical instruments in an existing music class is considered *supplanting*, and therefore **is not an allowable purchase** from Title IV, Part A funds at any grade level.

## PD

Providing professional development (PD) activities for *teachers* to promote the development, implementation, and strengthening of programs of instruction **is allowed** under ESSA, Section 4107(a)(3)(E) of Title IV, Part A.

Training for *counselors* to effectively use labor market information in assisting students with postsecondary education and career planning **is also allowed** under ESSA, Section 4107(a)(3)(A)(ii) of Title IV, Part A.

The **allowable expenses** for professional development activities under ESSA, Section 4107 include the salary of teacher trainers (who must be certified teachers and use job code 211), consultant fees (must be reasonable and necessary according to federal definition and use object code 300), travel associated with the proposed PD, stipends

for teachers who attend PD out of the contracted hours, and substitutes to cover teachers' classes who attend the PD activity.

### PD subscription

Subscriptions or licenses to use online teacher professional development **are allowed** under ESSA, Section 4107 of Title IV, Part A. Subscriptions shall not cross fiscal years.

### Smartboards and other computer devices

In general, an LEA may use funds under section 4107 for any *program or activity* that supports student access to and success in well-rounded educational experiences. For example, an LEA may use funds for programming and activities to improve instruction and student engagement in STEM (science, technology, engineering, and mathematics) subjects. STEM activities may include: increasing access for groups of underrepresented students to high-quality courses; supporting participation in nonprofit competitions (e.g. robotics, math competitions, computer programming); and providing students hands-on learning and exposure to STEM, including through field-based and service learning.

Computers, iPads, Chromebooks, smartboards, etc. do not fall under “programs and activities” and therefore **are not** allowed to be purchased under the Well-Rounded Education section. They are considered technology *devices* and **are allowed and covered under ESSA, Section 4109** – Effective Use of Technology.

### Software and subscriptions

Software *subscriptions or licenses* to use online programs, **are allowable** purchases from Title IV, Part A funds under ESSA, Section 4107.

*Software applications* (such as Microsoft Office, Adobe Reader, Apps etc.), which the LEA will own, will fall under the 15 percent infrastructure limit of ESSA, Section 4109.

### STEM materials

Purchase of new STEM materials is subject to case by case approval. **Replacing** any existing materials in a science lab, library, etc., is considered *supplanting* and therefore **is not allowed** to be paid with Title IV, Part A funds in any subject area or grade level.

For example, science materials **are allowable** uses of funds under ESSA, Section 4107 of Title IV, Part A. Computer hardware or servers **are not allowable** under ESSA, Section 4107 but **are allowable** as infrastructure under ESSA, Section 4109.

STEM activities may include: increasing access for groups of underrepresented students to high-quality courses; supporting participation in nonprofit competitions (e.g. robotics, math competitions, computer programming); providing students hands-on learning and exposure to STEM, including through field-based and service learning; supporting the creation and enhancement of STEM-focused specialty schools; facilitating collaboration among programs that take place during the school day and those that take place during out-of-school time to improve the integration of STEM instruction in those programs; and integrating other academic subjects such as the arts into STEM curricula. In a high-quality STEM opportunity, STEM skills and content knowledge are integrated and learned through exploration, inquiry, problem solving, and often involve real-world contexts or applications.

### Substitutes

Paying for substitutes for teachers who attend allowable Title IV, Part A professional development activities **is allowed** under ESSA, Section 4107 of Title IV, Part A.

### Teacher trainers

Teacher trainers' salary to provide professional development for teachers **is allowed** under ESSA, Section 4108 of Title IV, Part A. Teacher trainers use job code 211 and must be certified teachers who will be in the classroom on a daily basis to provide teachers with instructional support on how to increase student achievement.

### Uniforms for Band Classes

If it is school's responsibility to provide student uniforms, then the school should provide them to all students. Using Title IV, Part A funds to purchase uniforms - otherwise paid from general funds - will constitute supplanting, and therefore **not allowable** from Title IV, Part A funds.

If it not school's responsibility to provide student uniforms, then more than likely it is parents' responsibility. Using Title IV, Part A funds to purchase uniforms will also constitute supplanting in this case. Furthermore, these expenditures do not meet the "necessary" definition of federally funded costs, which are those costs necessary to support the operation and/or performance of the activities allowable under a federal program.

## 6.2 Safe and Healthy (SH) [ESEA, Section 4108]

Please note that it is unallowable to utilize Title IV, Part A funds to support the purchase of t-shirts, badges and/or lanyards (any clothing) for students for 'safety purposes' during field trips or any other event/activity.

### Consultants

Consultant fees **are allowed** under ESSA, Section 4108 of Title IV, Part A. See the consultant definition at the end of this document.

### Behavior interventionists

LEAs may use funds under ESSA, Section 4108 of Title IV, Part A to implement school-wide Positive Behavioral Interventions and Supports (PBIS). PBIS provides a framework for SEAs and LEAs to develop their capacity to support the social, emotional, academic, and behavioral needs of all their students in which a wide range of evidence-based programs can be implemented, including, but not limited to, prevention of the risk factors associated with substance abuse, bullying, and violence as well as promotion of mental health and wellness.

### Cabinet locks

Cabinet locks, door locks, and anti-tip furniture straps to help with the overall safety in the classroom **may not** be purchased from Title IV, Part A funds. The purchase of furniture necessary to maintain and operate an adequate school system is required under State Statute 70 O.S. § 5-117. Purchasing furniture and/or furniture accessories (which will be straps, locks, etc.) will represent supplanting.

### Counselors

The salary of a **supplemental** school guidance counselor **is an allowable use** of Title IV, Part A funds under Section 4108(5)(B). This person must be a *State licensed or certified* mental health professional qualified under State law to provide mental health services to children and adolescents. [ESSA, Section 4102(6)]

Paying the salary of an **existing** counselor is considered supplanting and is therefore **not allowed** from Title IV, Part A funds.

### ID badges

The purchase of student ID badges **is an allowable use** of Title IV, Part A funds under ESSA, Section 4108.

## Intercom systems

Intercom systems **are not** allowable purchases from Title IV, Part A funds, under ESSA, Section 4108.

## Door locks

Door locks fall under the prohibited uses of funds for construction under ESSA, Section 8526.

## Door/window guard alarms

Magnetic door/window guard alarms **are not** allowable from Title IV, Part A funds under ESSA, Section 4108. They fall under the prohibited uses of funds for construction under ESSA, Section 8526.

## Drug dogs

Contracted services for drug dogs are in alignment with drug and violence prevention and **are allowable** expenditures from Title IV, Part A funds, under ESSA, Section 4108(5). Coding: 2670-300

## Drug tests

Programs and activities that lead to an early identification of drug use **are allowed** under ESSA, Section 4108(5)(B)(i). Coding 2199-300

## GPS tracking devices

These devices are attached to students and will send out their location in case they run away. These devices **are not** allowable from Title IV, Part A funds.

## Mental health professionals

School-based mental health services for K-12 students for early *identification* of mental health symptoms, drug use, and violence and appropriate *referrals* to direct individual or group counseling services may be provided by school-based mental health services providers and **are allowable** uses of Title IV, Part A funds under section 4108(5)(B)(i). Please note that included in the category of school-based mental health services provider are the following: “State-licensed or State-certified school counselor, school psychologist, school social worker, or other State licensed or certified mental health professional qualified under State law to provide mental health services to children and adolescents.” [ESSA, Section 4102(6)]

Prior written, informed parental consent is required under ESSA, Section 4001(a)(1) to be obtained by a State, local educational agency, or other entity receiving funds under this title from the parent of each child who is under 18 years of age to participate in any mental health assessment or service that is funded under this title and conducted in connection with an elementary school or secondary school under this title.

Furthermore, “no funds under this title may be used for medical services or drug treatment or rehabilitation, except for integrated student supports, specialized instructional support services, or referral to treatment for impacted students, which may include students who are victims of, or witnesses to, crime or who illegally use drugs.”  
[ESSA, Section 4101(b)]

### Health equipment

Under Oklahoma Statute O.S 210:35-5-31, public schools must provide instruction in physical education (PE) for all students at all grade levels. If the standards for accreditation requirements regarding physical education are met, then it **will be allowable** to pay from Title IV, Part A funds the salary of a Fitness/Weight Room teacher or weight equipment (such as treadmills, lifting weights, etc.) for a *new* class. If these are proposed expenditures in the Title IV, Part A application, a lesson plan/course description shall be uploaded in the Supportive Documentation section of the Consolidated Application.

If Fitness/Weight activity is part of the only PE class that is offered, it is considered supplanting, and it **is not allowed** to use Title IV, Part A funds for any of the above.

### Playground equipment

Purchasing playground equipment does not meet the intent and purpose of this program, which is to *support student academic achievement*. Therefore, it **is not an allowable** purchase from Title IV, Part A funds under ESSA, Section 4108.

### Playground aggregate mulch

Although aggregate mulch for use under playground equipment may improve safety, it is the intent and purpose of Title IV, Part A to fund programs and activities that support student academic achievement. Purchasing aggregate mulch does not meet the intent and purpose of this program. Therefore, it **is not an allowable** purchase from Title IV, Part A funds, under ESSA, Section 4108.



## PD

Providing training for school personnel, including specialized instructional support personnel related to suicide prevention, effective and trauma-informed practices in classroom management, crisis management, and conflict resolution techniques, human trafficking, prevention strategies regarding violence, drug abuse, bullying, and harassment **are allowed** professional development activities under ESSA, Section 4108(5)(D) of Title IV, Part A.

The **allowable expenses** for professional development activities under ESSA, Section 4108 include consultant fees (must be reasonable and necessary according to federal definition and use object code 300), travel associated with the proposed PD, stipends for personnel who attend PD out of the contracted hours, and substitutes to cover teachers' classes who attend the PD activity.

### Resource officers

School resource officers foster safe, drug-free environments that support student academic achievement. Paying the salary of a Resource Officer (job code 316) **is allowable** from Title IV, Part A funds, under ESSA, Section 4108.

### Safety film for windows

Safety films applied to the windows to make them bulletproof represent an alteration of the school building and fall under the construction prohibition under ESSA, Section 8526. Therefore, they are not allowable purchases from Title IV, Part A funds under ESSA, Section 4108.

### School nurse

A school nurse, who is required to be certified or licensed by the State and practicing within their area of expertise, is hired to provide medical services and support. Medical services are prohibited uses of Title IV, Part A funds under ESSA, Section 4001(b), and therefore the salary of a school nurse **cannot be paid** from these funds.

However, if instruction regarding nutritional education, structured physical education activities, or chronic disease management is provided by a school nurse, nurse practitioner, or other appropriate specialist or professional to help maintain the well-being of students, it becomes **allowable** to pay a portion of the school nurse's salary from Title IV, Part A funds. If the school has an **existing** nurse, no portion of the salary can be supplanted with Title IV, Part A funds even though the school nurse provides the instruction described above.

## Social-emotional curriculum

Social-emotional curriculum programs that help children resolve conflicts peacefully, handle emotions positively, empathize, and make responsible decisions **are allowable** uses of Title IV, Part A funds.

## Tranquil blue classroom light filters

These light filters fall under the prohibited uses of funds for construction under ESSA, Section 8526 and therefore **are not allowed** from Title IV, Part A funds.

## 6.3 Educational Technology (ET) [ESSA, Section 4109]

### Consultants

Consultant fees **are allowed** under ESSA, Section 4109 of Title IV, Part A. See the consultant definition at the end of this document.

### Infrastructure

A local educational agency, or consortium of such agencies, shall not use more than **15 percent** of funds for purchasing technology infrastructure as described in subsection (a)(2)(B), which shall include technology infrastructure purchase for the activities under subsection (a)(4)(A). [ESSA, Section 4109(b)]

The 15% infrastructure limitation rule is applicable to **all** LEAs, regardless of the allocation amount received.

### IT personnel

IT personnel **may be paid** from the **15 percent** technology infrastructure portion of Title IV, Part A funds under ESSA, Section 4109(a)(4)(A) *only* when they provide the *initial training* regarding the use of devices, software, digital platforms, etc. It is considered supplanting to cover a portion of the salary of *existing* IT personnel, even though they provide the activities allowed by ESSA, Section 4109.

IT personnel provide ongoing *technical support* on setting-up, troubleshooting, and using devices, equipment, software, etc. If they are not certified teachers, they are not considered PD providers who have knowledge of how to increase student achievement in academic subjects through the use of technology. This makes it **unallowable** to pay the salary of IT coordinators/directors from the **85 percent** of the educational technology funds under ESSA, Section 4109 of Title IV, Part A.

## PD

Providing professional development regarding the use of technology to enable teachers and instructional leaders to increase student achievement in the STEM areas, including computer science, **is an allowable** use of Title IV, Part A funds under ESSA, Section 4109(a)(5). Ongoing PD is also allowed from these funds to support the implementation and academic success of blended learning projects under ESSA, Section 4109(a)(4)(B).

The allowable expenses for technology professional development from the 85 percent portion of funds under ESSA, Section 4109 will be the salary of the technology teacher trainers (who must be certified teachers), consultant fees (must be reasonable and necessary according to federal definition and use object code 300), travel associated with the proposed PD, stipends for teachers to attend PD out of the contracted hours, and substitutes to cover teachers' classes who attend the PD activity.

### Smart Boards

Smartboards for student instruction purposes **are allowable** to be purchased from Title IV, Part A funds under ESSA, Section 4109. They will be subject to the 15 percent technology infrastructure limit.

### Software

*Software applications* (such as Microsoft Office, Adobe Reader, Apps etc.), which the LEA will own, **are allowable** uses of Title IV, Part A and will fall under the 15 percent infrastructure limit of ESSA, Section 4109.

### Substitutes

It **is allowed** to pay substitutes for teachers who attend PD regarding the use of technology to increase student achievement, academic growth, and digital literacy of all students. Substitute pay will fall under the 85 percent of educational technology funds under Title IV, Part A.

### Technology devices for teachers

ESSA, Section 4109(a)(1) allows providing educators, school leaders, and administrators with professional development learning tools, devices, and resources to personalize learning to improve student academic achievement. Therefore, purchasing laptops, Chromebooks, smartboards, and other devices for teachers to use during professional development activities **is an allowable** use of Title IV, Part A funds. They will be subject to the 15 percent technology infrastructure limit.

## Teacher trainers

The salary of *Technology* Teacher Trainers (job code 211) **is allowable** to be paid from the 85 percent portion of the funds under ESSA, Section 4109. Teacher trainers must be certified teachers who will be in the classroom on a daily basis to provide teachers with instructional support on how to increase student achievement in the areas of science, technology, engineering, and mathematics, including computer science through the use of technology.

## Virtual School Teaches/Classes

The salary of a teacher (job code 210) who conducts classes virtually **is allowable** to be paid from the 85 percent portion of the technology funds under ESSA, Section 4109. This is subject to Supplement Not Supplant, so the position will have to be a brand new position.

## Website development and school app

Although website and school app development fall under the definition of technology, they do not meet the intent and purpose of the uses of technology under Title IV, Part A. Technology purchased with these funds “shall improve the academic achievement, academic growth, and digital literacy of all students.” Websites and school apps distribute to parents, students, and community members various information, including emergency alerts, athletic events, advertisements, etc. Therefore, paying for website subscription and/or school app development **is not allowable** under Title IV, Part A, Section 4109.

# CHAPTER 7: Unallowable Activities

## General Unallowable Activities

### Capital Outlay

Title IV, Part A funds **may not** be used for construction, renovation, or repair of any school facility.

### Rate Capacity

An LEA that does not receive E-Rate funds **may not** use Title IV, Part A funds to purchase computers to access the Internet, or to pay direct costs associated with accessing the Internet.

## CHAPTER 8: FAQs

**Q1: What are the requirements of an LEA that receives more than \$10,000 but less than \$30,000?**

**A1:** Such LEA is required to budget funds in at least one of the three focus areas. Funds may be budgeted in well-rounded education (WR), safe and healthy students (SH) and/or effective uses of technology (ET); however, the 15% cap on infrastructure remains applicable.

**Q2: Is the LEA required to budget for infrastructure?**

**A2:** No.

**Q3: Can infrastructure be budgeted without budgeting for professional learning that addresses the effective use of technology?**

**A3:** No. The 15% cap allowable dollar amount is derived from the actual dollar amount budgeted in the portion of effective use of technology designated for professional learning activities.

**Q4: Does a line item for a conference have to have an evidence-based level indicated?**

**A4:** Yes, and equally important, the rationale behind attending the conference must be based on an identified need addressed in the Comprehensive Needs Assessment. In some instances, a logic model may best capture the LEAs intent and purpose of why a particular conference has been selected as an intervention or programmatic response to a need. The logic model also facilitates content impact and outcomes as the LEA evaluates and monitors progress towards meeting goals. If Title IV, A funds will be selected to support a conference(s) that is usually/frequently (i.e. annual, reoccurring) attended by district faculty/staff, it would be a best practice to ensure that supporting data in the needs assessment and goals/action steps in the Consolidated LEA Improvement Plan are clearly defined.

**Q5: Can Title IV, Part A fund field trips?**

**A5:** In general, yes. Field trips must be based on identified needs, fully educational, and evidence based. Any supportive documentation must be loaded into the Consolidated Application on the Supporting Documentation tab. Title IV, Part A funds cannot be utilized to support costs for student food and/or lodging.

**Q6: Can Title IV, Part A funds be used to fund field trips to amusement parks (entertainment venues)?**

**A6:** No.

**Q7: Can Title IV, Part A funds be used to purchase clothing and/or food?**

**A7:** No.

**Q8: Can a non-secular private school utilize their Title IV, Part A breakout allocation to support activities that are part secular and part non-secular?**

**A8:** Yes. It is incumbent upon the LEA to calculate prorated payments so that federal funds support only those activities that are secular. For example, non-secular private schools can attend faith-based conferences that provide secular, education-based professional training; however, because it is faith-based, federal funds cannot be utilized to support 100% of the conference. Prorated payments must be based upon the percentage of time spent engaged in secular activities. LEAs will be required to upload supporting documentation which may include calculation worksheets, agendas, sign-in sheets and expense reports.

**Q9: Can private schools receive carryover?**

**A9:** If a private school did not utilize all of the allocated Title IV, Part A funds, the LEA is responsible for contacting the State Ombudsman and formally submitting an explanation of extenuating circumstances that will be reviewed by a panel. Without expressed approval regards a specific federal program from the State Ombudsman, federal dollars cannot be directed towards a private school.

**Q10: Can Title IV, Part A support academic competition fees?**

**A10:** Yes. However, access to the club/organization must be under the supervision of an LEA employee and available to all students. Travel expenses for students, including transportation, lodging and food are considered “participant support costs” (2 CFR 200.75) and are also generally allowable. Similarly, the SEA will need to determine the allowability of the specific proposed expenditure pursuant to Title IV, A. However, these “participant support costs” are only allowable with the prior written approval of the Federal awarding agency. Travel expenses for employees including transportation, lodging and food are considered “travel costs” (2 CFR 200.474) and are generally allowable. The SEA will need to determine if the specific proposed expenditure can be approved. Costs incurred by employees for travel should not exceed charges normally allowed by the LEA in its written travel policy.

**Q11: Can Title IV, Part A funds be used to purchase rewards/ incentives/ favors/ gratuities?**

**A11:** No. Federal funds cannot be used to provide celebrations, rallies, incentives or rewards.

**Q12: Can Title IV, Part A funds be used for security initiatives?**

**A12:** No, because activities solely for the purposes of police actions, security, and/or determent may not meet the intent and purpose of the statute. ESEA, Section 4108(2) clarifies that programming foster safe, healthy and supportive and drug-free environments that support student academic achievement. While security is critically important, Title IV, Part A focuses on evidenced-based initiatives that have demonstrated a positive impact on climate and culture and can be attributable to student achievement. Furthermore, research supports that these types of activities are detrimental to positive school climate and culture. Furthermore, items that affix to the grounds and/or a building are considered capital outlay.

**Q13: Can Title IV, Part A funds be used to renew software upgrades and/or subscriptions that are considered allowable but previously funded by state/local funds?**

**A13:** No.

**Q14: Can Title IV, Part A funds be used to pay for certification tests and/or coursework that is required for certification?**

**A14:** No.

**Q15: Can Title IV, Part A funds be used to purchase playground equipment, furniture or picnic tables?**

**A15:** No.

**Q16: Can Title IV, Part A funds be used to purchase furniture?**

**A16:** No

**Q17: Why are the names/titles and other details of activities like conferences, contracted services and supplies/materials required in the description narrative?**

**A17:** For the reviewer to determine allowability and verify the correct focus area identification, programmatic details are required.

## **GLOSSARY**

### **Application Platform**

Provides services to an application and is comprised of the set of tools an application relies on to run. Application platforms typically include the following services: an operating system, execution services (such as libraries for running software), data services, cloud services and development tools.

### **Application Software**

A type of computer program that performs a specific personal, educational, and business function. Each program is designed to assist the user with a process, which may be related to productivity, creativity, and/or communication.



- Functions of Application Software-Application software programs are created to facilitate a variety of functions, including but not limited to: managing information, manipulating data, constructing visuals, coordinating resources, calculating figures.
- Examples of Application Software- Microsoft suite of products (Office, Excel, Word, PowerPoint, Outlook, etc.), Internet browsers like Firefox, Safari, and Chrome, mobile pieces of software such as Pandora (for music appreciation), Skype (for real-time online communication), and Slack (for team collaboration).

### Assistive Technology

Assistive technology devices are identified in the IDEA 2004 as any item, piece of equipment or product system, whether acquired commercially off the shelf, modified, or customized, that is used to increase, maintain, or improve the functional capabilities of children with disabilities. The term does not include a medical device that is surgically implanted, or the replacement of such device.

### Blended Learning

A formal education program that leverages both technology-based and face-to-face instructional approaches that include an element of online or digital learning, combined with supervised learning time, and student-led learning, in which the elements are connected to provide an integrated learning experience; and in which students are provided some control over time, path, or pace.

### Community-Based Partnership /CBP (Partner)

A collaborative and symbiotic relationship where the LEA and CBP work together with the purpose of maximizing the implementation and success of a specifically targeted goal. ESEA requires that LEA's application must describe the SSAE programs and activities the LEA proposes to implement, which must include as applicable, descriptions of any partnership with an IHE, business, nonprofit organization, community-based organization, or other public or private entity with a demonstrated record of success in implementing allowable activities and describe how the LEA and its partners will periodically evaluate the effectiveness of its SSAE program activities based on established objectives and outcomes. (ESEA section 4106(e)(1)).

### Construction

Construction is referred to as any building, modification, renovation, improvement, or repair of school facilities. Construction **is prohibited** under ESSA, Section 8526.

## Consultants

Employees report their wages and other compensation to the IRS on Form **W-2**, Wage and Tax Statement.

Consultants, also called “non-employees” or freelancers, will report their compensation to IRS on Form **1099**.

Contracted individuals are not LEA employees. An individual *cannot* be both an employee and an independent contractor at the same LEA.

Contractors will have a written contract with the LEA and will report their compensation to IRS on Form 1099.

An employee for one LEA can perform contract work for another LEA. In this case, Teacher Retirement System (TRS) requires the contract to be sent to TRS for approval before working as an independent contractor for another LEA.

## Costs - Necessary

A cost is considered **necessary** to a grant project when it is recognized as ordinary and necessary to support the operation and/or performance of the grant. [2 CFR, Part 200.404]

## Costs - Reasonable

A cost is considered **reasonable** if: in its nature and amount, does not exceed the market prices for comparable goods or services for the geographic area; does not exceed what would be incurred by a prudent person; it meets the requirements imposed by such factors as: sound business practices; arm’s-length bargaining; Federal, state and other laws and regulations; and terms and conditions of the Federal award or State Aid Act. [2 CFR, Part 200.404]

For more details, refer to 2 CFR, Part 200.420-475 *General Provisions for Selected Items of Cost*

Additional information/documentation may be required to be submitted by the LEA with the application or the expenditure reports, to support the reasonableness of the proposed expenditures.

## Digital Learning

Any instructional practice that effectively uses technology to strengthen a student’s learning experience and encompasses a wide spectrum of tools and practices, including interactive learning resources, digital learning content (which may include openly licensed content), software, or simulations, that engage students in academic content; access to online databases and other primary source documents; the use of data and information to personalize learning and

provide targeted supplementary instruction; online and computer-based assessments; learning environments that allow for rich collaboration and communication, which may include student collaboration with content experts and peers; hybrid or blended learning, which occurs under direct instructor supervision at a school or other location away from home and, at least in part, through online delivery of instruction with some element of student control over time, place, path, or pace; and access to online course opportunities for students in rural or remote areas.

### **Infrastructure**

Funds, subject to the 15 percent Special Rule, may be used to build technology capacity and infrastructure, which includes procuring and ensuring quality of content, and purchasing devices, equipment and software to increase readiness.

- Computer equipment--Refers to both computers and associated peripheral equipment, such as: computers, including desktop and laptop machines, handheld computers, mainframe machines, and other specialized computing devices; and peripheral equipment that may be attached to computers, such as monitors, keyboards, disk drives, modems, printers, scanners, cameras, and speakers.
- Device/Equipment—A unit of hardware, outside or inside the case or housing for the essential computer (processor, memory, and data paths) that can provide input to the essential computer or of receiving output or of both. Computer equipment also includes peripherals that depend on a computer to operate properly. This can include: Computers, Telecommunications Equipment, Monitors, Keyboards, Printers, Servers, Drives, Network HUBs.
- Devices supporting technology in schools include specialized equipment (such as switches, routers, modems, or codecs) that link computers or video hardware to networks. Infrastructure also refers to cabling, whether wire, fiber optic, or coaxial. In newer systems, links between computers are wireless, in which case infrastructure refers to receivers and transmitters.
- Security Cameras- If further funding is necessary, it will be reviewed on a case by case basis. Please contact the assigned Program Specialist to your district for review and consideration.
- Hand-held communication devices
- Software to increase readiness

## Logic Model

A common pillar of evaluations is known as the logic model. The logic model lays out in visual form the relationships between planned activities and outcomes. Additionally, the logic model organizes the pieces of the evaluation into an easily accessible format. Presenting a logic model to stakeholders gives them a clear picture of the problem, the plan, and the expected outcomes of a selected intervention.

Many components of a logic model may already have been identified in a needs assessment. These components include the inputs, activities, benchmarks, and outcomes.

### Non-Regulatory Guidance Student Support and Academic Enrichment Grants

A logic model, which demonstrates a theory of action by visually connecting the activity to expected outcomes that are stated as well-defined and measurable goals and clarifies how the activity will work (see here for how Department regulations define “logic model” and for a description of logic models)

If there is no evidence of effectiveness for an activity to address an identified need, an LEA should use a logic model to demonstrate a rationale for why an activity is expected to address the need in the LEA’s specific context. The logic model should use prior research or data from performance monitoring to provide support that the activity is likely to improve the relevant outcome(s).

#### ***E-CFR: Electronic Code of Federal Regulations [34 CFR 77.1]***

*Logic model* (also referred to as a theory of action) means a framework that identifies key project components of the proposed project (*i.e.*, the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

*Demonstrates a rationale* means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

## Nonpublic equitable share

Nonpublic schools can participate each year in Title IV, Part A depending on the consultation with the LEA. 15% technology pool applies to the LEA and Nonpublic school.

### **Parental Consent**

A local educational agency, or other entity receiving funds under the title shall obtain prior written, informed consent from the parent of each child who is under 18 years of age to participate in any mental-health assessment or service that is funded under this title and conducted in connection with an elementary school or secondary school under this title.

Before obtaining the consent, the entity shall provide the parent written notice describing in detail such mental health assessment or service, including the purpose for such assessment or service, the provider of such assessment or service, when such assessment or service will begin, and how long such assessment or service may last.

### **School-Based Mental Health Services Provider**

A State-licensed or State- certified school counselor, school psychologist, school social worker, or other State licensed or certified mental health professional qualified under State law to provide mental health services to children and adolescents.

### **Stakeholder**

For the purposes of the LEAs Consolidation LEA Improvement Plan as it relates to Title IV, Part A, the stakeholder is a person or entity with a vested interest and/or concern in the LEAs vision, mission and purposes for providing educational services and have the intent on improving student learning. This includes but not limited to teachers, leaders, governance teams, parents, families, post-secondary educational institutions and community members. Stakeholders consider a broad view of data including both summative and formative results, local and state data sets, academic and non-academic factors, equity gaps and equity data, as well as qualitative and quantitative information (ex: interviews, surveys, focus groups). In support of the LEAs entire range of responsibilities, and in support of the Whole Child, the stakeholders prioritize needs and select interventions. Because of their initial vested interest, stakeholders are a vital component of the LEAs responsibility to continually monitor shifting needs and targeted goals via on-going consultations.

### **STEM-Focused Specialty School**

A school, or dedicated program within a school, that engages students in rigorous, relevant, and integrated learning experiences focused on science, technology, engineering, and mathematics, including computer science, which include authentic schoolwide research.

## Supplement not Supplant

Funds made available under ESSA, Title IV, Part A shall be used to supplement, and not supplant, non-Federal funds that would otherwise be used for activities authorized under this subpart. [ESSA, Section 4110]

## RESOURCES

- *Every Student Succeeds Act (ESSA), July 31, 2018*
- *Non-regulatory Guidance, Student Support and Academic Enrichment, 2016*
- *Office of Management and Budget (OMB), 2 CFR Chapter I, Chapter II, Part 200, December 26, 2013*
- *Non-regulatory Guidance, Title I Fiscal Issues, 2008, D-1, still in effect as of the preparation of this document*
- *OS § 70-22-104*
- *Oklahoma Public School Resource Center (OPSRC)*
- *T4PA Center: Evaluation Guide*

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