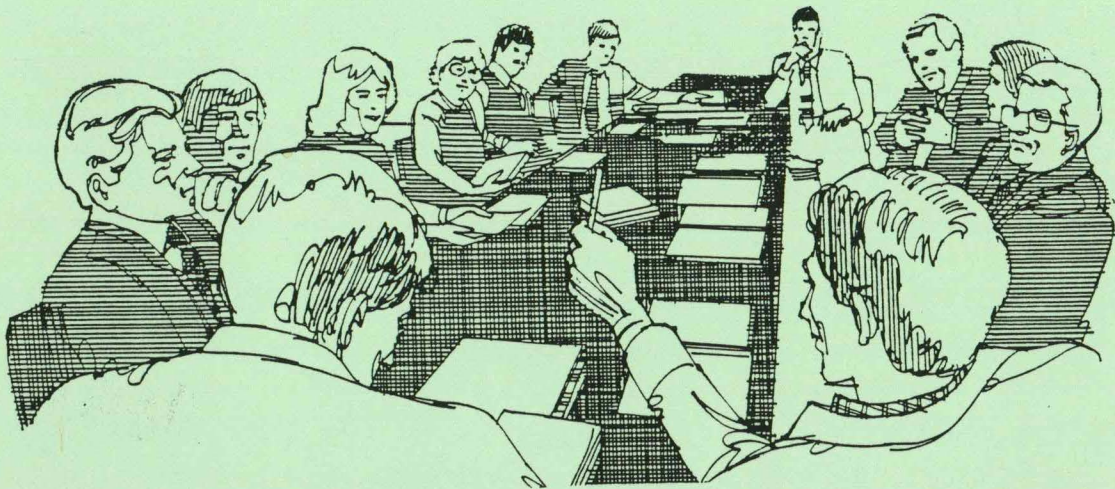


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EVALUATION
MADE OF 1984-1985 ECIA CHAPTER 2
FUNDS IN IOWA STATE AND LOCAL
EDUCATION AGENCIES



State of Iowa
DEPARTMENT OF PUBLIC INSTRUCTION
Grimes State Office Building
Des Moines, Iowa 50319-0146
February, 1986

3-790

State of Iowa
DEPARTMENT OF PUBLIC INSTRUCTION
Grimes State Office Building
Des Moines, Iowa 50319-0146

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Report of the State Advisory Committee

Consistent with Section 564 (a) (2) Chapter 2 (ECIA 1981), the State Advisory Committee advises on the evaluation of State programs conducted under Chapter 2. The State Advisory Committee, appointed by the Governor of the State of Iowa, has made recommendations on: the allocation of Chapter 2 funds reserved for the state; the formula for the allocation of funds to LEA's; and the planning development, support, implementation, and evaluation of state programs. In addition, the State Advisory Committee worked with the Department of Public Instruction in drafting the state application and administrative procedures approved by the State Board for FY 86-88.

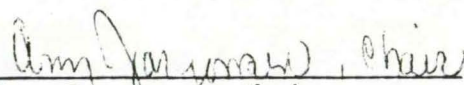
This is to attest that the aforesaid committee has been involved in the above-noted functions and in the design of the evaluation plan and procedures utilized in FY 85 and has reviewed the evaluation assessment contained in this document.

No additional comments are noted.

Additional comments are noted below.

The Iowa Advisory Committee recommends to the Department of Public Instruction that it continues to distribute payment to districts promptly after applications are approved with the fewest number of payments possible for compliance.

The Iowa Advisory Committee strongly supports the ECIA Chapter 2 program and recommends to the State Board, to the U.S. Department of Education, and to the Congress that this Act continue to be funded at the highest possible level because it provides funds to public schools and services to nonpublic school students for instructional programs based on the priority needs determined by local officials.


Ann Jorgensen, Chair
Iowa ECIA Chapter 2 State
Advisory Committee

FOREWORD

This report is the second annual report of Chapter 2 programs supported under the Education Consolidation and Improvement Act of 1981 (ECIA) implemented in Iowa schools during the 1985 fiscal year. The Iowa State Department of Public Instruction (DPI) has prepared this report in compliance with Section 564 (a) (5) which states: "beginning with fiscal year 1984, provides for an annual evaluation of the effectiveness of programs assisted under this chapter, which shall include comments of the advisory committee, and shall be made available to the public."

Information contained in this report has been summarized from department staff reports, school district evaluation reports, approved application data, and a survey of state advisory committee members. Explicated data are maintained in department files.

This report indicates that Chapter 2, for the 1985 fiscal year, has been successful in reducing the paper work of local districts, allowing more local planning and flexibility in the use of "block grant" funds for educational purposes, and the impact of the use of such funds for such purposes on behalf of large numbers of children. In addition, the concerns noted by federal on-site auditors (see Appendix B) were transmitted to local school districts by the state consultative staff and were responsible for lessening the number of exceptional practices.

Preliminary assessment of the Chapter 2 contribution to educational usage in fiscal year 1986 is indicative of a continuance of the success noted in 1985.

In a document circulated in December, 1985, by the National Chapter 2 Steering Committee, a group composed of State Chapter 2 directors, a uniform national format for reporting Chapter 2 related information was suggested. The purpose was to more easily assemble nationwide Chapter 2 data for federal review purposes. Each of the categories suggested in that format was considered in developing this evaluation report. All of the information for mandated items suggested are included in this report. However, because of the late receipt of the circulated document, the information as developed for presentation here differs somewhat in format.

Distribution of the 1984-1985 Allocation

The 1984-85 Chapter 2 state allocation of \$5,347,624 was distributed consistent with the approved state plan and guidance from the State Advisory Committee as shown in Table 1, below. Parallel data are provided for the 1983-84 year to allow for comparison to be made to answer questions concerning possible shifts in the 1984-85 program areas of emphasis. It will be noted that the program was, for the most part, consistent over the two-year period.

Table 1. Comparison of ECIA Chapter 2 Allocations (Including LEA Formula Factors): 1983-84 vs. 1984-85

	<u>1983-84</u>	<u>1984-85</u>
<u>Iowa Chapter 2 Allocation</u>	<u>\$5,384,911.00</u>	<u>\$5,347,624.00</u>
<u>LEA Allocation</u>	<u>\$4,309,413.00</u>	<u>\$4,279,583.00</u>
<u>LEA Distribution</u>		
<u>75% Enrollment</u>	<u>\$3,232,431.00</u>	<u>\$3,209,657.00</u>
<u>20% Chapter 1</u>	<u>\$ 861,585.60</u>	<u>\$ 856,250.00</u>
<u>5% Limited English Speaking</u>	<u>\$ 215,396.40</u>	<u>\$ 213,676.00</u>
	<u>\$4,309,413.00</u>	<u>\$4,279,583.00</u>
<u>SEA Allocation</u>	<u>\$1,075,498.00</u>	<u>\$1,068,041.00</u>

School District Application Form

The school district application form was transmitted to each school district during July of 1984. The entitlement for each district was noted together with the enrollment of public and nonpublic school children utilized in computing each district's entitlement, in the appropriate places provided on the face sheet of the application. Districts having nonpublic school enrollments utilized the figures provided to prorate the entitlement aid for the public and nonpublic enrollment components. The application form was designed with the input from the State Advisory Committee, to provide a document which would be conserving of time in its preparation by school administrators, while at the same time: conforming to the requirements of the enactment; identifying required assurances; collecting program data; and providing for flexibility and local discretion in planning for the expenditures of Chapter 2 funds. School districts were required to file completed application forms on or before January 1, 1985.

Approval Procedures

Department staff members processed applications as they were received and, as a matter of course, contacted school administrators for any required clarifications within two days of the application receipt. Generally, modifications, when required, were completed and each application was approved within one week of its initial arrival in the department. This procedure has essentially been in operation for the past three years and is functionally efficient.

Required modifications occurred as a result of local district desires to expend funds outside the intent of the federal enactment. For example, the desire to purchase computers or photocopying equipment for use in the administrative office as opposed to use for instructional purposes. The instances where modifications were required were fewer than in the previous year and did not typify the general pattern of applications submitted. Most were submitted in keeping with the spirit and letter of the enactment. In all instances where computer purchases were indicated, the district was contacted by telephone by department staff members to ascertain number, kind, and intended use of such equipment. As a rule, schools applying for approvable equipment expenditures were contacted by phone on the approval date and told that they could start initiating acquisition procedures (even though they would not receive a warrant from the department for Chapter 2 fund entitlement for between four and five weeks, the usual length of time required at the department level to request and effect warrant processing from the State Comptroller's office). This procedure helped assure that funds were not accrued for an interest bearing period of time by the local districts.

Also, on the day in which an application was approved, a Data File Keyboard Entry Sheet was prepared which recorded all program data from the application for future report generation. The department staff supervised the coding preparation, editing and report generation of all such electronic data processing activities. Status reports were generated to allow department administrators and members of the Advisory Committee to monitor the approved application program expenditure trends during the course of the year.

Approved Program Area Expenditures

Table 2 shows the 1984-85 report for the approved application program expenditure areas for all Iowa public and participating nonpublic schools.

It will be noted that the largest expenditure was made in program area 2.3, instructional equipment. The Advisory Committee was interested in learning how many and what kind of computers were part of this approved application program area. Table 3 was generated to show that 288 districts planned to purchase a total of 1,235 computers. The Apple IIe system was by far the most preferred.

Table 2. ECIA Chapter 2 Approved Application Expenditure Areas. Iowa Public and Participating Nonpublic Schools.

BUDGET SUMMARY

Report Date: October 1, 1985

ELIGIBLE SUBCHAPTERS	SALARIES & BENEFITS	CONTRACTED SERVICES	INSTRUCTIONAL MATERIALS	INSTRUCTIONAL EQUIPMENT	MISC. COSTS	TOTAL BUDGET
A. *BASIC SKILLS	\$	\$	\$	\$	\$	\$
1.1 Reading	98,238	1,000	3,161	2,342	270	105,011
1.2 Mathematics	23,135	--	1,750	--	--	24,885
1.3 Written & Oral Comm.	3,586	--	--	--	--	3,586
Subtotal	124,959	1,000	4,911	2,342	270	133,482
B. EDUCATIONAL IMPROVEMENT & SUPPORT						
2.1 Textbooks			236,347			236,347
2.2 Library & Inst. Mat.			851,290			851,290
2.3 Instruc. Equipment		20,439		2,124,566		2,145,005
2.4 Guid., Couns. & Test.	8,063	10,029	9,641	5,668	3,000	36,401
2.5 Educ. Improvement	97,772	8,014	23,837	12,194	420	142,237
2.6 Staff Development	44,610	54,003	10,870		4,558	114,041
2.7 Other	302,808	2,700	5,121	1,517	1,222	313,368
Subtotal	453,253	95,185	1,137,106	2,143,945	9,200	3,838,689
C. SPECIAL PROJECTS						
3.1 Metric Education	--	--	--	--	--	--
3.2 Arts	1,200	5,145	360	1,000	--	7,705
3.3 Career Education	34,776	2,250	7,048	14,295	450	58,819
3.4 Environmental Ed.	--	--	340	886	--	1,226
3.5 Gifted & Talented	50,482	4,800	9,104	4,058	1,164	69,608
3.6 Community Ed.	7,000	800	--	100	200	8,100
3.7 Other	69,898	26,184	22,278	9,642	1,590	129,592
Subtotal	163,356	39,179	39,130	29,981	3,404	275,050
Subtotal of A, B, C						4,247,221
Indirect Costs (Approved Rate)						32,362
GRAND TOTAL						4,279,583

Table 3. Microcomputers Purchased by Iowa School Districts
Using 1984-85 ECIA Chapter 2 Funds

<u>Type of Computer</u>	<u>Total Number of Computers by Type</u>	<u>Total Number of School Dis- tricts Purchasing Each Type</u>
Apple IIc	81	24
Apple IIe	1,119	254
Apple II+	1	1
Apple McIntosh	9	7
Commodore 64	11	5
Franklin Ace	4	1
Franklin 1000	3	1
IBM PC	2	2
IBM XT	1	1
Kaypro	2	1
Radio Shack Model 4	2	1
	-----	-----
TOTALS	1,235	298 *

*In ten cases, school districts purchased more than one type of computer and were accordingly counted more than once. Of the 298 districts noted in the table above, there were 288 different school districts represented.

Number of Children Served by Program Area

Table 4 shows the number of students that were impacted by planned expenditures by program area. It will be noted that most pupils were impacted in the program area 2.3, instructional equipment and 2.2, library and instructional materials.

Final Reports

School districts were encouraged to file final reports of 1984-85 expenditures by September of 1985; all but a few complied, and a concerted effort was made by letter and follow-up telephone call to acquire the remainder within a reasonable extension period. This practice helped to assure that Chapter 2 funds were promptly expended.

Following receipt of the final reports, the department staff initiated monitoring visits to selected schools to evaluate any possible discrepancies between approved plans for, and actual expenditures made of 1984-85 Chapter 2 funds. This included a statewide monitoring of all school district Chapter 2 expenditure audits in compliance with procedures for audit contained in circular A-102, attachment P.

Schools Sampled for Monitoring Visits

Schools were selected for monitoring visits by a sampling process discussed with and approved by the Advisory Committee. This process focused upon the need to keep monitoring costs low, while at the same time sampling school districts in a manner which would allow for valid generalizations to be made of statewide school practices. An area-stratified-random design was utilized in the following manner. To save on travel expenses between schools monitored, the several state education agency areas were randomly separated into two groups--the first group to be monitored the first year and alternate years thereafter; the second group to be monitored the second year and alternate years thereafter. When boundaries for the area education agencies were determined, the criterion of similar demographics was of primary concern. Therefore, by randomly selecting half the area education agencies in the state, travel distances between schools could be minimized, while allowing for monitoring results to be generalized statewide.

Table 4. Impact Analysis by Number of Students Served
 Number of Pupils Served in the 1984-85 ECIA Chapter 2 Several Program Areas
 Program Totals Are Unduplicated Counts

PROGRAM AREA	PUBLIC SCHOOLS PROGRAM TOTALS			NONPUBLIC SCHOOLS			Grand Total
	K-6	7-12	Total	K-6	7-12	Total	
1.1 Reading	624	455	1,079	--	--	--	1,079
1.2 Mathematics	24,209	2,272	26,481	--	--	--	26,481
1.3 Written & Oral Comm.	880	976	1,856	--	--	--	1,856
2.1 Textbooks Library & Inst. Mat.	29,904	26,324	56,228	2,310	476	2,786	59,014
2.2 Instruc.	119,500	108,188	227,688	17,226	10,089	27,315	255,503
2.3 Equipment Guid., Couns. & Test.	162,795	162,226	325,021	23,841	17,890	41,731	366,752
2.4 Educ.	11,930	12,277	24,207	1,397	365	1,762	25,969
2.5 Improvement Staff	18,757	17,829	36,586	1,779	626	2,405	38,991
2.6 Development	31,857	32,242	64,099	3,157	774	3,931	68,030
2.7 Other Metric	3,539	2,153	5,692	210	--	210	5,902
3.1 Education	--	--	--	--	--	--	--
3.2 Arts Career	4,185	2,376	6,561	490	194	684	7,245
3.3 Education Environ.	367	5,418	5,785	--	793	793	6,578
3.4 Education Gifted & Talented	--	--	--	--	86	86	86
3.5 Community Education	1,142	660	1,802	412	11	423	2,225
3.6 Education	233	625	858	--	--	--	858
3.7 Other	8,794	12,216	21,010	104	39	143	21,153

* Do not add columns vertically or duplicated count will occur.

Because the monitoring process was concerned with the outcome effect which utilization of Chapter 2 funds caused, schools receiving larger allocations of Chapter 2 funds (those with the larger enrollments) were selected for more frequent monitoring than schools receiving smaller Chapter 2 allocations. Thus, within each area education agency area to be monitored in a given year, all schools over 5,000 enrollment were selected for monitoring as were half the schools with enrollments of 1,000 to 4,999, and one-tenth the schools with enrollments of under 1,000. (A table of random numbers was utilized in selecting the schools in the 50 percent and 10 percent samples chosen.)

This sampling procedure allowed the department staff to mount a cost-effective monitoring program to inform the advisory committee members of Chapter 2 practices and trends that could be generalized to all the schools of the state. Table 5 shows the number of schools selected by area education agency boundary and size for the 1983-84 year and the 1984-85 year consistent with the description provided above.

Monitoring Visit Protocol

The design of the monitoring visit protocol incorporated areas of concern generated in part from proscriptions contained in the enactment, and in part from concerns and desire to know from department administrators and advisory committee members. Design input was elicited from the Advisory Committee prior to presentation of the finalized monitoring protocol to the Advisory Committee for approval. An inspection of the monitoring format (see Appendix A) will indicate the areas of information gathering which monitoring personnel pursue during on-site district visits. In addition, monitoring personnel answered Chapter 2 related questions posed by district personnel and made suggestions for improving observed practices when required. Included in suggestions made were concerns noted by the federal on-site visit of the state program made in January of 1985 (see Appendix B).

The monitoring visit focused upon: the district planning process for overall application preparation for expenditure of funds for subchapters A, B and C purposes; in-depth evaluation of procedures utilized in assessing need for subchapter A expenditures; review and examination of evaluation records kept for children receiving aid from Chapter 2; in-depth review and examination of fiscal records including purchase orders, warrants for expenditures, dates aforesaid were executed, nature and propriety of expenditures, and encumbrances of unexpended funds; and, finally, inventory procedures of acquisitions made utilizing Chapter 2 funds.

The monitoring staff used the protocol format to annotate on-site findings and prepared administrative summaries of findings for each district immediately following that district's monitoring visit. The protocol notes and summaries were filed with the department section chief for further action as was required, upon the monitoring staff member's return to the department. A copy of the monitoring documentation was utilized by the staff to prepare a statewide analysis that was reported to the State Advisory Committee. This, in part, provided input for modifying when necessary, the ECIA Chapter 2 program procedures for the following year.

Table 5. ECIA Chapter 2 On-Site Monitoring Schedule

Block Stratified Random Sample Design

First Year: Eight AEA's Drawn at Random;
 (FY 1984) School Districts Stratified by Size (Enrollment) Within Each
 Size Class 1: 5,000 or more
 Size Class 2: 1,000 to 4,999
 Size Class 3: Less than 1,000
 Draw 100% Size Class 1
 Draw at Random 50% Size Class 2
 Draw at Random 10% Size Class 3

Second Year: Remaining Seven AEA's
 (FY 1985) Repeat Sampling Strategy Within Each

FY 1984 SAMPLE TEST RUN: NUMBER OF LEA'S DRAWN BY STRATA WITHIN AEA

<u>AEA</u>	<u>SIZE CLASS 1</u>	<u>SIZE CLASS 2</u>	<u>SIZE CLASS 3</u>	<u>TOTAL</u>
2	0	3	2	5
4	0	1	2	3
6	1	3	2	6
9	3	4	2	9
11	2	10	4	16
12	1	2	2	5
13	1	3	3	7
14	0	2	2	4
	8	28	19	55

FY 1985 SAMPLE TEST RUN: NUMBER OF LEA'S DRAWN BY STRATA WITHIN AEA

<u>AEA</u>	<u>SIZE CLASS 1</u>	<u>SIZE CLASS 2</u>	<u>SIZE CLASS 3</u>	<u>TOTAL</u>
1	1	4	2	7
3	0	2	2	4
5	1	3	4	8
7	2	1	2	5
10	2	4	3	9
15	1	3	2	6
16	1	3	1	5
	8	20	16	44

*Note: There is no AEA 8. During formation of the AEA regions, schools within the planned AEA 8 area, elected to be included in other contiguous AEA areas.

An analysis of trends generalized to the state's schools as noted from sampled school practices indicates the following program characteristics in operation during the 1984-85 year:

Planning

Planning for Chapter 2 expenditures was evident in all districts monitored.

Forty-eight percent of the school districts engaged in a formal planning process for the expenditure of Chapter 2 funds. Forty percent of the formal planning sessions included parents and fifty-five percent involved both teachers and administrators.

The fifty-two percent of the school districts using informal planning procedures relied mainly on meetings between staff members during daily routines and special staff requests. In twenty-seven percent of the school districts engaged in informal planning, parents were informally consulted, while in twenty-eight percent of these school districts funds were expended based solely upon administrative decision.

The presence of formal and informal planning processes for the expenditure of funds was positively correlated to school size. The larger the school district, the greater the tendency for formal planning with input from a variety of school context populations. Planning requirements were reviewed with each district's administrators.

Evaluation

Seventy-nine percent of the school districts expended Chapter 2 funds for materials and equipment, while sixty-two percent expended Chapter 2 funds for instructional projects.

Of the school districts expending funds for materials and equipment, seventy-three percent engaged in some form of student learning outcome evaluation, while in the case of school districts expending funds for instructional projects, one hundred percent evaluated student learning outcomes.

Ninety-two percent of materials and equipment oriented evaluations were documented, while eighty-five percent of instructional project evaluations were documented.

Fiscal Records

Ninety-three percent of school districts kept Chapter 2 funds in uniquely numbered accounts to facilitate audit. ECIA staff members worked with the remainder of schools monitored to improve accounting practices to facilitate Chapter 2 audit.

Ninety-eight percent of all expenditures were documented and spent according to approved plans. The remaining two percent were required to file amended plans which were evaluated for compliance by state ECIA staff.

Ninety-five percent of final reports submitted were accurate. The remaining five percent were corrected by ECIA staff to reflect actual expenditures consistent with the ECIA enactment.

Sixty-four percent of school districts expended Chapter 2 funds following plan approval dates. In the remainder, in each case, ECIA staff cautioned local administrators to submit ECIA Chapter 2 plans earlier in the year to eliminate the possibility of obligating funds prior to approval date.

Equipment and Inventory

Ninety-five percent of school districts maintained an inventory of equipment and materials utilized by public school children, while eighty-three percent of school districts maintained such inventories for equipment and materials utilized on behalf of nonpublic school children. In each case ECIA staff worked with local school district officials to establish acceptable inventory procedures.

In all cases, equipment or materials were used for instructional purposes.

During fiscal 1985, meetings of the State Advisory Committee covered: an overview of the ECIA Chapter 2 enactment; duties of the advisory committee; the Iowa application; status report of the second year of Chapter 2 operations; discussions of evaluation procedures, protocols, and program impact; and a discussion and analysis of the local program formula elements utilized in generating LEA entitlements under Chapter 2.

Department Utilization of Chapter 2 Funds

Department utilization of FY 85 Chapter 2 funds remained identical to the utilization practices established in FY 84. The full-time equivalent number of consultants employed at the department level to administer the Chapter 2 program, was three full-time professional staff and one full-time secretary. In addition, to provide local districts a variety of curricular functions, technical assistance, staff development, support services and other activities as explicated in Table 6, a full-time equivalent of 23 positions were employed (see Table 6a). Over ten and one-half percent of their time and services were expended on behalf of nonpublic school children served under Chapter 2. The Subchapters A, B, and C Department FTE Staff Form depicted in Table 6 was developed with input from the State Advisory Committee and reflects areas of program import which were of concern to the advisory committee. The program provided services of consultants in curriculum and instruction in the basic skill areas of reading, mathematics, and English language arts, and support services. These individuals planned workshops in consultation with public and nonpublic personnel. They also conducted workshops for

teachers, participated in conferences designed to inform teachers and administrators about new developments in education and worked with public and nonpublic school staff and local districts and area education agencies. As specialists in curriculum, they prepared publications, served as resources to teachers, administrators, and policy makers; and provided inservice education related to the curriculum. In addition, these consultants provided leadership and services to public and nonpublic school children for the improvement of education. These services included: resources to schools; media and library services; technical assistance for the solution of educational problems; research and resource information retrieval and dissemination; and the implementation of educational programs. In addition, special projects received in-depth consultative services for such programs as: talented and gifted, community education, environmental education, the arts, substance abuse, health and recreation, ethnic heritage, training and advisory services in the area of civil rights. In the interest of brevity, only two samples of the kinds of activities conducted by the Chapter 2 staff are explicated as follows:

INFORMS Staff (See asterisked positions on Table 6a.)

Four workshops were conducted for teachers and librarians dealing with on-line database searching. The Chapter 2 staff developed the instructional program for the two-day workshops, which included on-line database searching experience for each participant. The participants in turn were assigned to teach their acquired knowledge and skills to students for the purpose of encouraging students to conduct their own on-line searches as a powerful tool to aid in their studies.

Gifted and Talented (See double asterisked positions on Table 6a.)

During the 1984-85 school year, activities of the Consultant for Gifted Education included: review for approval of 183 applications for state approval of local gifted education instructional programs; planning and conducting two meetings of the Gifted Education Leadership Forum, a statewide leadership group; directing the planning group for the Iowa Summer Institute in Gifted Education (a week-long teacher workshop); and planning and co-hosting the Iowa Thinking Skills Seminar at the University of Northern Iowa (Cedar Falls).

Through informal feedback, department administrators, monitoring staff, and advisory committee members were informed of a high degree of satisfaction in the way the 1984-85 Chapter 2 program had been conducted on behalf of Iowa's schools.

Table 6. Department Staff Functions Providing
Direct Assistance to Local Schools
(Full-Time Equivalent Functions)

Directions: COLUMN A is a list of activity categories which can be used to describe the kinds of activities you perform as a DPI staff member. In COLUMN B, state to the nearest tenth (.1) of a FULL-TIME EQUIVALENCE (FTE), the amount of time required by activity categories which apply to you. The sum of the COLUMN B FTE values should be 1.0. In COLUMN C, state to the nearest hundredth (.01) of a FULL TIME EQUIVALENCE (FTE) the amount of time beneficial to nonpublic schools as judged by the percentage of recipients of an activity category which are nonpublic schools.

Column A	Column B	Column C
1. Curricular functions	<u>8.3</u>	<u>1.12</u>
2. Technical assistance to educational institutions	<u>3.8</u>	<u>.52</u>
3. Staff development	<u>2.3</u>	<u>.38</u>
4. Support services and/or technical assistance for DPI staff	<u>6.6</u>	<u>N/A</u>
5. Other	<u>2.0</u>	<u>.40</u>
TOTAL	23.0	2.42
10.52% Nonpublic		

Category Attributes for Classifying

Curricular functions: developing, collecting, analyzing, and/or disseminating curricular materials.

Technical assistance to educational institutions: performing services outside of curriculum and staff development areas such as testing, school finance consultation, school law interpretation, program monitoring, supervision, etc.

Staff development: training staff (including DPI) in new and/or improved processes and techniques. Training staff in the use of a specific curriculum should be classified as a curricular function.

Support services and/or technical assistance for DPI staff: any services and/or technical assistance other than staff development provided by certificated and non-certificated personnel.

Other: any activity which cannot be classified in any of the above categories.

Table 6a. Types of State Services Provided Under
the State Plan for Chapter 2

Subchapters A, B, & C Staff

Legal Services
Mathematics Consultant
Language Arts Consultant
Reading Consultant
Individualized Instruction Consultant
Social Science Consultant
Science Consultant
*Research Associates
Educational Media Consultant
Assistant Director
Foreign Language Consultant
*Referral Specialist
**Gifted and Talented Consultant
Community Education Consultant
Environmental Consultant
Arts Education Consultant
Health, Physical Education, and Recreation Consultant
Drug Education Consultant
** *Clerical Support Services

Administrative Staff

Clerk Typist III
ECIA. Chapter 2 and Dissemination Chief
ECIA, Chapter 2 Consultant
ECIA. Chapter 2 Consultant

*/** Staff involved in explicated Subchapters A, B, & C activities
noted on page 11.

Appendix A

DIRECTIONS: Check the appropriate planning process statements.

THE PLANNING PROCESS

- _____ Formal (Scheduled Meetings) _____ Informal (No Group Meeting[s])
_____ Administrators, Teachers, Parents, etc.
_____ Administrators and Teachers Only
_____ Administrators Only
_____ Superintendent or Assistant Superintendent Only
_____ Nonpublic School Officials (where applicable)

DIRECTIONS: Circle YES or NO for each statement.

SUBCHAPTER A PROCEDURES (Answer Only If Subchapter A Funds Spent)

- YES NO Student(s) selected by diagnostic assessment results
YES NO Learning objectives documented

EVALUATION (Draw Line Through Nonapplicable Statements)

- YES NO Have materials and equipment project(s)
YES NO Have instructional project(s)
YES NO Some or all (circle one) materials and equipment projects evaluated
YES NO Some or all (circle one) instructional projects evaluated
YES NO Evaluation results documented for some or all (circle one) materials and equipment projects
YES NO Evaluation results documented for some or all (circle one) instructional projects

FISCAL RECORDS

- YES NO Unique account number(s) used
YES NO Some purchase orders or invoices dated prior to approval date
YES NO All expenditures documented
YES NO Funds spent according to approved plan
YES NO Final report is accurate
YES NO Funds in interest bearing account

EQUIPMENT AND INVENTORY (Draw Line Through Nonapplicable Statements, If No Nonpublic)

- YES NO Inventory of equipment and/or materials maintained for public school
YES NO Inventory of equipment and/or materials maintained for nonpublic school
YES NO Equipment and materials used for administrative purposes

Appendix B



UNITED STATES DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20202

19



The Honorable Robert D. Benton
Superintendent of Public Instruction
State Department of Public Instruction
Grimes State Office Building
Des Moines, Iowa 50319

Dear Superintendent Benton:

As you know, a member of my staff, Regina Kinnard, recently reviewed Iowa's administration of Chapter 2 of the Education Consolidation and Improvement Act. Enclosed are the findings and recommendations.

Ms. Kinnard was very impressed with the State's commitment to the program, as evidenced by the interest, knowledge and enthusiasm of the Chapter 2 personnel; the cooperative effort among the SEA, LEAs and the private schools; and the SEA's monitoring system of the LEAs.

Please advise us within thirty days how you plan to implement the recommendations. Your cooperation is greatly appreciated.

If we can be of any assistance, please do not hesitate to call.

Sincerely,

LS/

Lois A. Bowman
Acting Director
State and Local Educational Programs
Elementary and Secondary Education

Enclosure

cc: Dr. James Mitchell

ON-SITE ASSESSMENT OF STATE ADMINISTRATION OF

ECIA, CHAPTER 2 BLOCK GRANT

STATE: Iowa DATE OF REVIEW: Feb. 19-21, 1985

AMOUNTS GRANTED:

FY 82	<u>\$5,330,630</u>
FY 83	<u>\$5,384,911</u>
FY 84	<u>\$5,347,624</u>

STATE COORDINATOR: Dr. James Mitchell TELEPHONE NO. (515) 281-3436

REVIEWED BY: Regina Kinnard
Education Program Specialist

SUMMARY OF FINDINGS AND RECOMMENDATIONS

Evaluation

Section 564(a)(5) requires that any State which desires to receive a grant under Chapter 2 must comply with certain requirements. Included is a provision that the State provide an annual evaluation of the effectiveness of programs assisted by Chapter 2. Section 298.4 of the Chapter 2 regulations specifies school year 1983-1984 as the first year for this required evaluation. The statute also requires that the evaluation include comments of the advisory committee, and be made available to the public.

It was the reviewer's understanding that data for the evaluation of both the LEA and SEA programs have been collected, but the evaluation report has not been completed and submitted to the advisory committee for comments. It is recommended that these actions be taken and copies sent to the Department of Education when the report is made public.

Cash Advances to LEA

Treasury Regulations 1075 require that the disbursement of Federal funds be related as closely as possible to the actual need for funds. Presently, the SEA disburses 100 percent of the LEA's allocation immediately after application approval. It is recommended that the SEA review the length of time cash is on hand at the LEA level prior to the disbursement as part of its monitoring activities. If it appears that funds are not being disbursed shortly after receipt, the SEA may wish to re-examine its disbursement procedures. Most States have adopted a phased disbursement schedule, along with quarterly reports from LEAs showing cash on hand. The amount disbursed is adjusted downward by the amount of cash on hand.

LEA Consultation

Section 566(a)(4) of the statute and Section 298.7(b) of the Chapter 2 regulations requires systematic consultation with parents of children attending elementary and secondary schools, with teachers and administrative personnel, and other groups as appropriate on the allocation of funds for authorized programs and in the design, planning, and implementation of such programs.

The State of Iowa's Chapter 2 application includes this requirement as an assurance. The State has also provided LEAs with a copy of the statute. In interviews conducted with LEA personnel there appeared to be a lack of knowledge concerning this statutory requirement. It is recommended that the SEA remind LEAs of this requirement and provide technical assistance on how to fulfill it.

Private School Participation

Section 586(c) of the statute and Section 298.21 of the Federal regulations assigns administrative direction and control over Chapter 2 funds and property that benefit children enrolled in private schools to the LEA. In the review of LEA Chapter 2 activities, it was the reviewer's understanding that the LEAs were not ensuring that the materials and equipment on loan to the private schools were being used for secular, neutral and nonideological purposes and for the benefit of children, not the school. Therefore, it is recommended that the SEA remind LEAs of these requirements, and encourage them to conduct onsite reviews of the use of the benefits in private schools to ensure that these requirements are met.



April 8, 1985

Ms. Lois A. Bowman, Acting Director
State and Local Educational Programs
Elementary and Secondary Education
U. S. Department of Education
Washington, D.C. 20202

Dear Ms. Bowman:

This letter is in reference to your request of March 19, 1985, and the recent on-site visit of Regina Kinnard regarding Chapter 2, ECIA. The Department was pleased to have Ms. Kinnard in Iowa, and we do appreciate her complimentary remarks, both on her visit and as reflected in your letter.

The findings and recommendations as a result of that visit are also appreciated. You may rest assured each one will be carefully considered, and the appropriate changes will be made in our implementation procedures. Your report has been shared with the State Advisory Committee and will receive additional consideration at future meetings. Our immediate responses are summarized below.

Evaluation

The evaluation report has been completed and reviewed by the State Advisory Committee. A copy is attached for your use.

Cash Advances to LEAs

The Department is aware of the Treasury Regulation 1075 regarding disbursement of Federal funds. With knowledge that Chapter 2 is not a reimbursement program and funds are only allocated to LEAs after the applications are approved, coupled with the fact that most allocations are extremely small, the Department has disbursed the total amount in order to reduce excessive paperwork in this office and by the LEAs. The staff will notify LEAs of the need to expend the money promptly and, in addition, they will continue to monitor LEAs to assure that Chapter 2 funds are not placed in interest bearing accounts.

LEA Consultation

Local districts sign assurances on the application that the requirement for systematic consultation with parents, teachers, administrative personnel, and other groups is done. Without this assurance, the application would not be approved. The Department staff has brought this requirement to the attention of LEA administrators during on-site monitoring visits, and it will be highlighted again in a notice to all districts.

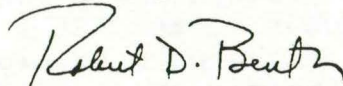
Ms. Lois A. Bowman
April 8, 1985
Page 2

Private School Participation

Public school districts and officials of nonpublic schools are aware that materials, equipment, and services must be to benefit the students and be used for secular, neutral, and nonideological purposes. They will again be notified of this requirement. We are considering an assurance signed by nonpublic school officials that this requirement is being met since it may be inappropriate to send public school officials on-site to nonpublic schools to monitor. We will also review the process while conducting on-site review by our staff. This recommendation will also be reviewed and considered by Iowa's Private School Advisory Committee which meets on a regular basis.

The Iowa Department of Public Instruction is appreciative of the personal visit by Ms. Kinnard and the suggestions for our program. The assistance from the U. S. Department of Education has always been beneficial to us, and we look forward to a continued good relationship in the future. You are always welcome in Iowa, and if I can provide additional information to you, please do not hesitate to call.

Sincerely yours,



Robert D. Benton, Ed.D.
State Superintendent of
Public Instruction

RDB/plb

Attachment



UNITED STATES DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20202

JUL 21

Honorable Robert D. Benton
Superintendent of Public Instruction
State Department of Public Instruction
Grimes State Office Building
Des Moines, Iowa 50319

Dear Superintendent Benton:

Thank you for your response to the report of our review of the administration of the ECIA, Chapter 2 program in Iowa. With the exception of "Cash Advances to LEAs", we concur with your response to our findings.

The Inspector General of the Department of Education conducted a study of nine States regarding their implementation of the ECIA, Chapter 2 program. One of the findings and recommendations to the Department of Education was that the State agencies need to develop disbursement procedures to minimize the accumulation of excess Chapter 2 funds at the LEA level. We understand that you notified the LEAs of the need to expend the money promptly. However, there is no indication as to how you will determine whether your disbursement process is fulfilling the requirements of Treasury Circular 1075 with respect to the tracking of funds after the initial disbursement.

With respect to your response regarding interest bearing accounts, there is no statutory prohibition to placing Chapter 2 funds in interest bearing bank accounts. However, if interest does occur, it is a good indicator that an LEA is receiving funds in excess of its immediate needs.

Your further response to our recommendation is therefore requested. If we can be of further assistance, please do not hesitate to call.

Sincerely,

LS
Lois A. Bowman
Acting Director
State and Local Educational Programs
Elementary and Secondary Education

cc: Dr. James Mitchell





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GRIMES STATE OFFICE BUILDING • DES MOINES, IOWA 50319

ROBERT D. BENTON, Ed.D., STATE SUPERINTENDENT

David H. Bechtel, M. S., Administrative Assistant

JAMES E. MITCHELL, Ph.D., DEPUTY SUPERINTENDENT

August 26, 1985

Ms. Lois A. Bowman, Acting Director
State and Local Educational Programs
Elementary and Secondary Education
U. S. Department of Education
Washington, D.C. 20202

Dear Ms. Bowman:

In your letter dated July 26, 1985, you requested that the Iowa Department of Public Instruction respond to the need to develop disbursement procedures which would minimize the accumulation of excess Chapter 2 funds at the sub-recipient level. We will continue to do this.

Since our school districts are small in size and 82 percent of the funds are expended for instructional materials, equipment, and related services, most of the funds are spent or obligated after the application is approved and before the funds are received by the district. Therefore, there is little opportunity to accumulate funds in most districts. However, to minimize the potential accumulation of funds, we will study the purposes stated in the applications and as we monitor the programs in the districts, we will analyze the use of funds. Thus, for the districts that utilize the funds for salaries, staff development, and similar activities, or for those districts which do not expend funds quickly, we will incorporate disbursement procedures in next year's instructions and application process that will distribute the funds to those districts in a way that will assure there is no excess accumulation of cash.

We trust this technique and response will be satisfactory and meet the requirements of Treasury Circular 1075. I thank you for your assistance and for the work of your staff. Chapter 2 is one of the best programs in providing instructional assistance to local schools.

Sincerely yours,

Robert D. Benton, Ed.D.
Commissioner of Public Instruction

RDB/plb



UNITED STATES DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20202

OCT 10 1985



Honorable Robert D. Benton
Superintendent of Public Instruction
State Department of Public Instruction
Grimes State Office Building
Des Moines, Iowa 50319

Dear Superintendent Benton:

Thank you for your response to our request for further explanation regarding the recommendation on "Cash Advances to LEAs" included in our report on the administration of ECIA, Chapter 2.

We concur with the steps you propose to take in implementing this recommendation.

If we can be of further assistance, please do not hesitate to call.

Sincerely,

LS/

Lois A. Bowman
Acting Director
State and Local Educational Programs
Elementary and Secondary Education

cc: Dr. James Mitchell

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