



FISCAL CRISIS & MANAGEMENT  
ASSISTANCE TEAM

CSIS California School Information Services

# Trinity County Office of Education

## Special Education Local Plan Area Review

December 7, 2016

Joel D. Montero  
Chief Executive Officer







December 7, 2016

Bettina Blackwell, Superintendent  
Trinity County Office of Education  
201 Memorial Drive  
Weaverville, CA 96093

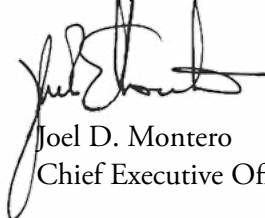
Dear Superintendent Blackwell:

In June 2016, the Trinity County Office of Education and the Fiscal Crisis and Management Assistance Team (FCMAT) entered into an agreement to conduct a management assistance review. Specifically, the agreement states that FCMAT will perform the following:

1. Review the current Trinity Special Education Local Plan Area (SELPA) allocation funding model and make recommendations for a more equitable distribution to districts, if needed. In addition, review the bill-back model.

This final report contains the study team's findings and recommendations in the above areas of review. FCMAT appreciates the opportunity to serve you and extends thanks to all the staff of the Trinity County Office of Education and the SELPA member districts for their cooperation and assistance during fieldwork.

Sincerely,



Joel D. Montero  
Chief Executive Officer

**FCMAT**

Joel D. Montero, Chief Executive Officer

1300 17<sup>th</sup> Street - CITY CENTRE, Bakersfield, CA 93301-4533 • Telephone 661-636-4611 • Fax 661-636-4647  
755 Baywood Drive, 2<sup>nd</sup> Floor, Petaluma, CA 94954 • Telephone: 707-775-2850 • Fax: 707-636-4647 • [www.fcmat.org](http://www.fcmat.org)  
Administrative Agent: Christine L. Frazier - Office of Kern County Superintendent of Schools



# Table of Contents

About FCMAT .....	iii
Introduction .....	1
Background .....	1
Study and Report Guidelines .....	1
Study Team .....	2
Executive Summary .....	3
Findings and Recommendations .....	5
Special Education Local Plan .....	6
SELPA Funding .....	6
Accounting and Budget Development .....	9
Reporting and Timelines .....	10
Charter Schools .....	11
Appendices .....	15



# About FCMAT

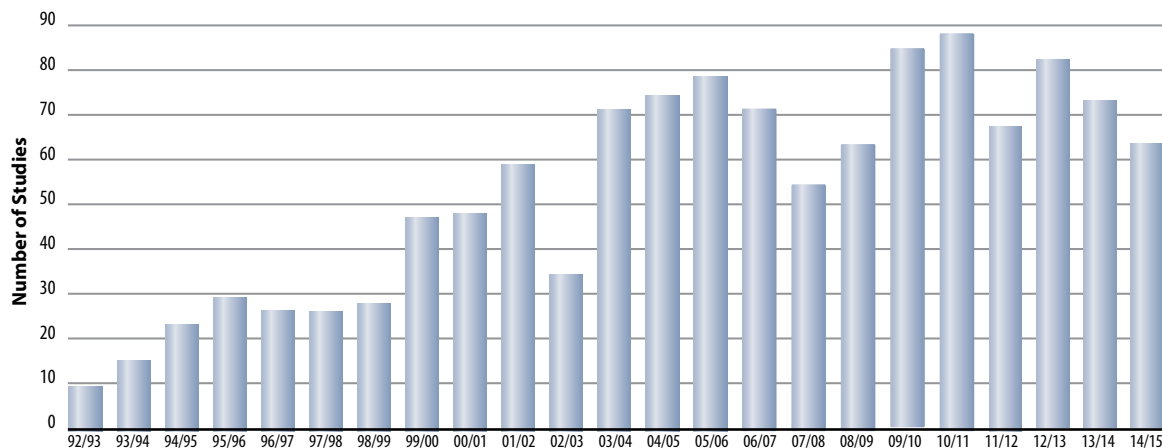
FCMAT's primary mission is to assist California's local K-14 educational agencies to identify, prevent, and resolve financial, human resources and data management challenges. FCMAT provides fiscal and data management assistance, professional development training, product development and other related school business and data services. FCMAT's fiscal and management assistance services are used not just to help avert fiscal crisis, but to promote sound financial practices, support the training and development of chief business officials and help to create efficient organizational operations. FCMAT's data management services are used to help local educational agencies (LEAs) meet state reporting responsibilities, improve data quality, and inform instructional program decisions.

FCMAT may be requested to provide fiscal crisis or management assistance by a school district, charter school, community college, county office of education, the state Superintendent of Public Instruction, or the Legislature.

When a request or assignment is received, FCMAT assembles a study team that works closely with the LEA to define the scope of work, conduct on-site fieldwork and provide a written report with findings and recommendations to help resolve issues, overcome challenges and plan for the future.

FCMAT has continued to make adjustments in the types of support provided based on the changing dynamics of K-14 LEAs and the implementation of major educational reforms.

**Studies by Fiscal Year**



FCMAT also develops and provides numerous publications, software tools, workshops and professional development opportunities to help LEAs operate more effectively and fulfill their fiscal oversight and data management responsibilities. The California School Information Services (CSIS) division of FCMAT assists the California Department of Education with the implementation of the California Longitudinal Pupil Achievement Data System (CALPADS). CSIS also hosts and maintains the Ed-Data website ([www.ed-data.org](http://www.ed-data.org)) and provides technical expertise to the Ed-Data partnership: the California Department of Education, EdSource and FCMAT.

FCMAT was created by Assembly Bill (AB) 1200 in 1992 to assist LEAs to meet and sustain their financial obligations. AB 107 in 1997 charged FCMAT with responsibility for CSIS and its state-wide data management work. AB 1115 in 1999 codified CSIS' mission.

AB 1200 is also a statewide plan for county offices of education and school districts to work together locally to improve fiscal procedures and accountability standards. AB 2756 (2004) provides specific responsibilities to FCMAT with regard to districts that have received emergency state loans.

In January 2006, Senate Bill 430 (charter schools) and AB 1366 (community colleges) became law and expanded FCMAT's services to those types of LEAs.

Since 1992, FCMAT has been engaged to perform more than 1,000 reviews for LEAs, including school districts, county offices of education, charter schools and community colleges. The Kern County Superintendent of Schools is the administrative agent for FCMAT. The team is led by Joel D. Montero, Chief Executive Officer, with funding derived through appropriations in the state budget and a modest fee schedule for charges to requesting agencies.



# Introduction

## Background

Located in the rural town of Weaverville in Northern California, the Trinity County Office of Education (county office) serves nine school districts and operates one special education program, all of which participate in the Trinity Special Education Local Plan Area (SELPA). The county has a total of 1,522 students this school year, which is an increase of 59 students over 2015-16 and the first increase since 2006-07, excepting a very small increase in 2010-11.

Trinity Alps Unified is the largest school district in the county, with 676 students according to the most recent data certified by the California Department of Education (CDE). The two smallest school districts, with 10 students each, are Coffee Creek Elementary and Trinity Center Elementary.

On June 7, 2016, the county office and the Fiscal Crisis and Management Assistance Team (FCMAT) entered into an agreement for FCMAT to review the Trinity SELPA's funding allocation model. Specifically, the study agreement states that FCMAT will perform the following:

1. Review the current Trinity Special Education Local Plan Area (SELPA) allocation funding model and make recommendations for a more equitable distribution to districts, if needed. In addition, review the bill-back model.

## Study and Report Guidelines

FCMAT visited the county office and districts on September 26-27, 2016 to conduct interviews, collect data and review documents. This report is the result of those activities and is divided into the following sections:

- I. Special Education Local Plan
- II. SELPA Funding
- III. Accounting and Budget Development
- IV. Reporting and Timelines
- V. Charter Schools

In writing its reports, FCMAT uses the Associated Press Stylebook, a comprehensive guide to usage and accepted style that emphasizes conciseness and clarity. In addition, this guide emphasizes plain language, discourages the use of jargon and capitalizes relatively few terms.

## Study Team

The study team was composed of the following members:

Deborah Deal, CICA, CFE  
FCMAT Intervention Specialist  
Los Angeles, CA

Jackie Martin\*  
Assistant Superintendent, Chief Business  
Official  
Atascadero Unified School District  
Atascadero, CA

John Lotze  
FCMAT Technical Writer  
Bakersfield, CA

Dr. Jackie Kirk-Martinez  
FCMAT Consultant  
Pismo Beach, CA

\*As a member of the study team, this individual was not representing her employer but was working solely as an independent contractor for FCMAT. Each team member reviewed the draft report to confirm its accuracy and to achieve consensus on the final recommendations.

# Executive Summary

The Trinity County Office of Education (county office), Trinity Special Education Local Plan Area (SELPA) and the county and SELPA's nine school districts requested an analysis of the SELPA's Assembly Bill (AB) 602 special education allocation plan and recommendations for an equitable allocation of funds and distribution of excess costs.

The SELPA has tried unsuccessfully a number of times to change the allocation model over the past two years. Approved amendments to the original plan although formally approved have not been memorialized in formal SELPA plan documents.

Although the current local plan is a fair and equitable distribution model, it is cumbersome and difficult to understand and is clouded with other issues that are external to the plan components, including large variances between initial estimated and final actual expenditures, and a lack of adherence to reporting deadlines.

The current allocation plan is developed in a Microsoft Excel spreadsheet that is difficult to follow, and member districts do not fully understand how the plan works. Member districts report that a revised Excel spreadsheet intended to provide clarity led to more confusion and additional questions.

Districts report inconsistent and inaccurate accountability for services and questioned the SELPA's direct usage calculations. Intervals of more than a year between budget estimates and final expenditure calculations have led to large variances between the two, which affect districts' budgets many months after their books should be closed for the fiscal year. During FCMAT's fieldwork, many districts reported that their books were not closed at the end of September because districts did not have the final allocations for revenue and distribution of expenditures for their individual districts.

A lack of adequate supporting documents and clear explanations of why final calculations differ from previous estimates have created a lack of trust between member districts and the county office's chief business official (CBO).

The roles and functions of the county office and the SELPA staff members should be distinguished and delineated from one another; however, county office and SELPA services are not separate and distinct, which result in confusion about direct services for member districts as opposed to SELPA services paid for under the allocation plan.

The California Heritage Youth Build Academy (CHYBA) charter school in Shasta County has approximately 80 students, all of whom reside outside of Trinity County. The Trinity county office's governing board authorized the charter school for the 2016-17 fiscal year. Attempts to include the charter school as a SELPA member gave rise to concerns from member districts that they would lose already limited special education funding if this occurred.



# Findings and Recommendations

County offices of education support school districts by performing a variety of tasks that can be done more efficiently and economically at the county level. This includes services such as assisting with new curricula; staff development and training programs; instructional procedures; the design of business and personnel operating systems; and many other functions to help districts meet changing needs and requirements.

Centralized county or regional services for students with highly specialized needs provide the advantage of economies of scale, especially in large rural areas such as Trinity County where several small school districts encompass several hundred square miles. Regional programs serve children and young adults with exceptional needs from multiple school districts, providing them with specialized programs that would be financially disadvantageous for a single school district to offer. These include programs for students who are visually impaired, deaf and hard of hearing; students in vocational education; students in programs for youths at risk of failure; and instruction for students in juvenile detention facilities.

The California Department of Education (CDE) provides guidance on state and federal laws passed between 1970 and 1987 that increased special education services; these include federal public laws 93-112, 94-142, and 99-457.

In response to these laws and other mandates, California passed legislation that requires school districts and regional agencies to establish SELPAs to meet the needs of children with disabilities. According to the CDE at: <http://www.cde.ca.gov/sp/se/as/caselpas.asp>, these laws and regulations promote changes and procedures leading to the following:

- Accountability
- Annual Reviews of Progress
- California Special Education Management Information System (CASEMIS) Reporting
- Career Training
- Community Involvement and Support
- Compliance Reviews
- Coordination of Resources Among Districts by Regions
- Desired Results Developmental Profile (DRDP) Assessment and Data Reporting
- Due Process Rights
- Educational Benefit
- Full Services to All Students with Disabilities
- Guaranteed Equality of Access
- Improved Self-esteem for Children with Disabilities
- Increased Parent Participation
- Individualized Education Programs (IEPs)
- Less Restrictive Environment
- Local Governance Systems

- Program Evaluation
- Quality Program Reviews
- Social Acceptance of Children with Disabilities
- Staff Development Programs
- State Performance Plan Indicator Data Collection
- Transition from School to Post-Secondary Education and Employment

## Special Education Local Plan

The CDE indicates that legislation enacted in 1977 mandated that all school districts and county school offices “form consortiums in geographical regions of sufficient size and scope to provide for all special education service needs of children residing within the region boundaries” ([www.cde.ca.gov/sp/se/as/caselpas.asp](http://www.cde.ca.gov/sp/se/as/caselpas.asp)). California has 122 regions, also called SELPAs, each of which creates a local plan for how special education services will be provided. The development of each region’s local plan is a unique and collaborative process involving local school districts and county offices and is designed to facilitate programs that guarantee equal opportunity for all students.

The Trinity SELPA’s local plan has not been formally updated since 2007-08. Many agreements have been approved by member districts and county office staff during that time; however, the formal local plan does not include these.

The local plan also does not include changes in funding resulting from AB 114, Chapter 43, Statutes of 2011, which changed several sections of the Government Code (GC) to transfer the responsibility for mental health services from individual county mental health programs to schools. According to the CDE at <http://www.cde.ca.gov/sp/se/ac/ab114twg.asp> AB 114 gave schools sole responsibility “for ensuring that students with disabilities receive special education and related services to meet their needs in accordance with Individuals with Disabilities Education Act (IDEA) of 2001.” A funding source for mental health appropriated to the Trinity SELPA has not been included in its local plan or presented to member districts for discussion.

## SELPA Funding

### Federal and State Revenue

The state allocates special education funds to SELPAs based on SELPAwide average daily attendance (ADA), with annual cost-of-living increases as well as adjustments for increases or decreases in SELPAwide ADA.

Special education funding is the second-largest source of funding to school districts (after Local Control Funding Formula apportionments from the state) but falls far short of what they need to serve students with disabilities and comply with both federal and state law. California distributes federal and state special education funding through SELPAs, and local school districts almost always have to supplement this funding with money from their unrestricted general fund to provide adequate special education services.

SELPA members interviewed, including districts and the county office-operated program, expressed a desire to establish a revenue distribution plan that is clearly defined and equitable. Documents reviewed and interviews with employees confirm that the revenue distribution is based on SELPAwide enrollment as reported in October in the official California Longitudinal Pupil Achievement Data System (CALPADS) report, also referred to as the Fall 1 count.

### **Allocation Plan**

The Trinity SELPA's formal 2007-08 allocation plan is based on a 90/10 cost distribution model, under which 90% of the expense for each student is paid by all member districts and 10% by the district in which the student resides. The majority of member districts were opposed to this allocation plan and voted two years ago to implement a revised allocation model based on a combination of cost methodologies.

As a result, the current allocation plan is based on both a direct-service and cost-sharing approach: expenses for psychologists and nurses are based on CALPADS-certified enrollment and distributed among member districts; occupational, physical and speech therapy costs are determined based on estimated average staffing costs and subsequently invoiced based on actual use.

### **Clear and Equitable Funding Allocation**

The SELPA needs a clearly defined and easy to understand funding allocation plan that provides predictable, timely and accurate information. Effective allocation plans are built on shared principles that foster fairness and equity. The county office's CBO will need to review regularly the usage of bill-backs for direct services and staffing, and report this information to member districts in accordance with a predetermined schedule.

The SELPA's governance team, composed of school district superintendents and county office personnel, has tried unsuccessfully a number of times to change the allocation model over the past two years. Approved amendments to the original plan although formally approved have not been memorialized in formal SELPA plan documents. This has left member districts and county office staff frustrated. The SELPA members' mistrust has increased over time, mainly because of the unpredictability of final financial information, which is commonly generated many months after projections and which as a result contains large variances between estimated and actual expenditures as well as insufficient explanations regarding them. Having a neutral facilitator help the SELPA and its members develop a new allocation plan could help ensure open and clear communication that will benefit all parties.

After an allocation plan is developed and agreed upon, the SELPA will need to continue coordinating regular business meetings and meetings with SELPA members to review updated financial information and discuss requests for changes as circumstances warrant. Several individuals interviewed reported that agreements were made in meetings but have not been formalized in the allocation plan document. It would benefit the SELPA to make sure all meetings include minutes and are preceded by a formal distribution of information about the meeting date, time and location. Modifications to the allocation plan that are agreed to and voted on by the governance team need to be immediately included in the local plan and formally updated in the local plan at least annually.

Documents from the county office and the SELPA and interviews with district staff indicate that the funding allocation spreadsheets the county office's CBO prepares are voluminous, overly detailed and lacking in clarity. Member districts were unable to state the amounts they receive for psychological, nursing and speech services and were uncertain whether the bill-backs for these services are correct or consistently applied. This added to their uncertainty and mistrust.

It would benefit the SELPA and its members if the allocated expenditures for SELPA administration, psychologists and nurses were separated and distinguished from the fee-based (bill-back) schedule for direct services such as speech, occupational and physical therapy, which are charged based on actual usage. This would better reflect and make more clear how the services are actually provided and their allocated costs. FCMAT created a sample allocation plan using the Trinity

SELPA's 2015-16 data; this document is in appendix A of this report. The sample funding allocation plan distributes the special education funding and the allocated countywide service costs using the October 2015 CALPADS enrollment.

The major components of the FCMAT sample allocation plan are as follows:

- a. *Special Education Transportation*  
The county office's Local Control Funding Formula (LCFF) add-on funding for special education transportation is allocated based on the number of pupils transported.
- b. *Shared Costs*  
This includes allocated countywide service costs for the SELPA administrative fees, psychologists, and nursing services.
- c. *Out-of-Home Care*  
The out-of-home care allocation is used to offset the SELPA's costs for these services.
- d. *Special Education Extraordinary Expense Reserve (SEEER)*  
The sample includes the amount each district would contribute to the countywide pool for the SEEER.

Because the Trinity SELPA has many small school districts, it would benefit the SELPA and its members to have a separate extraordinary cost pool in case a member has a student or students who require high-cost services. Without such a pool, one residential nonpublic school placement or expensive due process settlement could cause significant financial hardship. FCMAT's sample allocation plan includes a column titled Reallocated Unspent in case a SELPA member has special education carryover and the SELPA decides to reallocate carryover.

The sample allocation plan does not include direct services charged based on use. It would be a better practice for the SELPA to develop and maintain a separate fee schedule for direct services provided by the county office so that the SELPA members can be invoiced directly for these based on actual use of services. It would also be best if the fee schedule calculation included a census date or dates on which the use data is gathered to determine fees and use factors such as identified number of students, number of annual student hours, or distribution based on assigned FTE to calculate costs. Having the fee schedule follow the timelines suggested in the Reporting and Timelines section below for the projected direct services use costs would allow the districts to adjust their budgets in time if needed. It is a best practice to attach to the invoice any documents that verify services provided. Appendix B contains a sample fee schedule for speech services using the SELPA's 2015-16 expenses provided to FCMAT.

### **Formal Meetings**

When developing the budget and ongoing best practices, it would benefit the SELPA to schedule monthly formal meetings that include administrators from the county office's special education, business and human resources departments as well as representatives from member districts.

It would also benefit the SELPA to schedule simultaneous but separate meetings of business staff and of superintendents and/or principals, followed by a joint meeting of all SELPA members. Best practice is to send attendees requests for agenda items at least one week before a meeting and post the agenda publicly two days before the meeting.

Business meeting agendas could include the following items for discussion:

- Revenue allocations for state and federal funding
- Estimates for predetermined set-asides for extraordinary cost risk pools



- Requests for payment of extraordinary costs or mental health services
- Requests for educationally-related mental health needs
- Review of the most recent direct cost charges
- Review of updated shared costs and projections
- Enrollment projections or actual Fall 1 enrollment
- Budget development and monitoring
- Impact of requests for additional county office staff or changes in assignments
- Nonpublic school and/or nonpublic agency contracts, invoices and new placements
- Interim or end-of-year financial reporting for maintenance of effort calculations

Superintendent/principal meeting agendas could include the following items for discussion:

- Identified student counts
- Identified needs
- Due process or complaint issues
- Staff caseloads

Joint meetings should include issues that could have a fiscal impact, and updates from the individual meetings.

## Accounting and Budget Development

The SELPA's budget is not recorded separately from the county office's budget in the accounting system. The recording of transactions and budgeting needs to be separate, and components of the SELPA budget need a unique account code structure to facilitate monitoring and reporting of the SELPA's operating budget, low-incidence funds, mental health funds, and SEEER. This would make it easier to report to SELPA members at periodic meetings and as needed, close the books at fiscal year-end, and allocate costs to member districts.

Procedure 755 in the California School Accounting Manual (CSAM) has guidance for establishing a locally-defined fund code that would automatically roll into Fund 01 for reporting purposes. A separate fund, such as Fund 10, could be used for the pass-through of state and federal revenues to member districts. If Fund 10 is used as a pass-through fund, it should have a zero balance at year-end closing.

The county office and SELPA need to clearly define and differentiate SELPA roles, functions, responsibilities and personnel from those of the county office, and define how business services responds to the needs of both.

Because the county office is small and has limited staff, many staff members are paid for from more than one source of funding. When developing budgets, the SELPA and the county office need to determine the percentage of a staff member's time to allocate to SELPA services and to county office services. In situations like this, it is best to allocate funding based on initial estimates but follow up with a time study like those required for positions funded by multiple federal sources.

The table below shows how the SELPA and county office budgets could be prepared.

Description	SELPA	County Office
Multi-funded position.	SELPA Director.	Special education county office director.
Multi-funded position.	SELPA Executive Secretary.	Special education county office secretary.
Multi-funded activities.	Special education information system (SEIS).	Special education information system (SEIS).
Invoiced to member districts based on formula.	SELPA administrative fee/dues.	All FTE positions providing service to students hired through the county office.
Services are billed back based on usage.	SELPA direct operating expenses.	Preschool budget – County operated program.
Services are billed back based on usage.	Psychologist and nursing.	Psychologist and nursing.
Services are billed back based on usage.	Low-incidence funding.	Direct services for speech, occupational and physical therapy
Services are billed back based on usage.		Allocated countywide services.
Requests must be approved by SELPA governance team.	Educationally-related mental health funding. Any agreed upon specialized pools such as the current SEEER.	

After the SELPA's governance team approves the SELPA's budget, additional requests for funding increases or payment of extraordinary costs can be presented to the governance team for formal approval. These requests need to include an explanation of the fiscal impact on member districts, and they should be posted for SELPA members at least two business days before the meeting.

### **Educationally-Related Mental Health Funding**

FCMAT's review of financial records revealed carryover balances of more than \$86,600 in educationally-related mental health funding. A plan to spend this money was proposed but not formally adopted; therefore, the funds have been reserved for future use. Uses of these restricted funds must qualify under strict expenditure guidelines.

The SELPA governance team will need to set priorities for the use of federal and state mental health funding in accordance with expenditure guidelines. The following priorities would meet these guidelines:

- Continue its contract with Trinity County for behavioral health services
- Nonpublic school mental health placements
- Supplement behavioral support services for districts with students who have extreme behavioral and emotional challenges

## **Reporting and Timelines**

### **SELPA Reporting**

The county office CBO is responsible for financial accounting and reporting for county office services, including both county office internal services and financial services support to school districts throughout the county. The CBO also oversees and develops the SELPA allocation plan, distributes allocations to member districts, and is responsible for federal and state reporting and helping small school districts with year-end closing.

For member districts to receive information for budgeting and planning purposes, it is essential that they complete reports by agreed-upon deadlines. The county office business department and the district CBOs or business managers will need to jointly establish a timeline for special education budget projections, SELPA plan allocations, invoices for direct services, and year-end unaudited actuals reporting.

Districts report that the accounting for special education services is inconsistent and inaccurate, and they questioned the direct usage calculations. Often more than a year goes by between budget estimates and final expenditure calculations. This has led to large variances, which affect districts' budgets many months after the books should be closed for the fiscal year. A lack of both adequate supporting documents and clear explanations of how and why the final calculations differ from previous estimates have created a lack of trust between member districts and the county office CBO. The CBO needs to provide clear, timely and understandable explanations and accounting for services and use of services listed on a student's IEP to support the amounts being charged for direct services.

Updated estimates for cost allocations and usage also need to be accurate, understandable and provided on time at predefined intervals through the fiscal year. All estimates need to be based on the latest information available.

The table below shows a sample timeline.

Activity	Due Date
Initial estimates for the upcoming fiscal year	April 30
Revised projections to include CALPADS enrollment	October 31
Updated projections and actual billings	January 31
Estimated Actuals to include P-2* certifications	May 15
Final allocations to include state certifications	No later than July 15

\*The P-2 is a critical attendance reporting period used to determine significant funding based on the Local Control Funding Formula, funding for special education, and funding calculations for many other programs for the fiscal year.

When final certifications of federal and state revenues are received from the CDE at the end of June, this information and a full accounting needs to be distributed to SELPA members immediately, and a final expenditure report needs to be provided no later than August 1.

In the last two fiscal years, the county office CBO has been unable to make final calculations until late September or October, which delayed member school districts' closing of their books until after the September 15 deadline. Education Code 42100 (a) states:

On or before September 15, the governing board of each school district shall approve, in a format prescribed by the Superintendent of Public Instruction, an annual statement of all receipts and expenditures of the district for the preceding fiscal year and shall file the statement, along with the statement received pursuant to subdivision (b), with the county superintendent of schools. On or before October 15, the county superintendent of schools shall verify the mathematical accuracy of the statements and shall transmit a copy to the Superintendent of Public Instruction.

Each district is required to have its unaudited actuals approved by its governing board and sent to the county office by September 15; the county office is required to review the unaudited actuals and submit them to the state by October 15. To comply with this law, the county office needs to provide the districts with the information they need to close their books on time.

## Charter Schools

California Heritage Youth Build Academy (CHYBA) is a charter school in Shasta County that has approximately 80 students. The Trinity County Office of Education's governing board authorized the CHYBA charter school for the 2016-17 fiscal year under Education Code Section

47605.1 (g)(2). Although the county office has one dependent charter school for independent study, CHYBA is the first independent charter school authorized by the county office.

The county office and SELPA staff recommended including CHYBA in the SELPA allocation plan; however, the SELPA agreement requires approval from all SELPA members. The county office requested that each member district's school board approve a resolution in favor of including CHYBA, but this did not occur because many districts had concerns about the potential negative effect this would have on the distribution of special education funding. Because of this, CHYBA can apply to other SELPAs throughout the state and receive direct services from the Trinity County Office of Education, but it cannot become a member of the Trinity SELPA until all member districts approve.

Based on CHYBA's 2015-16 second interim ADA, including it in the SELPA would have increased SELPA funding by \$25,036, but CHYBA would have received \$52,632 under the SELPA's distribution model, resulting in overall loss of \$27,596. The reason for this is that state special education funding is based on attendance but allocations of SELPA's state funding to member districts are based on enrollment, and CHYBA's October 2015 CALPADS enrollment of 70 students was significantly greater than its second interim ADA of 56.24, so its ADA was only 80.3% of enrollment.

The SELPA will need to carefully evaluate the potential effects of adding new members for at least the next three years to determine the long-term impact, because state special education funding is based on countywide attendance in either the current or prior year (refer to Appendix C and compare it to Appendix A).

## Recommendations

*The SELPA should:*

1. Develop a clear and easy to understand funding allocation plan that provides predictable, timely and accurate information and that is built on principles of fairness and equity.
2. Ensure that the county office CBO reviews direct service usage and resulting bill-backs and staffing regularly and reports this information to its members in accordance with a predetermined schedule.
3. Ensure that its governance team considers using a neutral facilitator to help implement a new allocation plan.
4. Coordinate and schedule regular SELPA business and superintendent/principal meetings. Distribute materials and requests for agenda items, and post agendas publicly, before each meeting date.
5. Include SELPA allocation plan amendments in its local plan immediately, and have its governance team formally updated the local plan annually.
6. Ensure that its governance team considers creating a separate extraordinary cost pool.
7. Ensure that its allocation plan includes all funding, including educationally-related mental health funding.

8. Separate the different funding sources for SELPA and COE budgets in the account code structure, and code positions to these budget accounts; follow Procedure 755 in the CSAM.
9. Provide its member districts with clear accounting for and information about direct services in a timely manner at predetermined intervals throughout the fiscal year.
10. Carefully evaluate the potential effects of adding new members to the SELPA.
11. Clearly define county office and SELPA staff roles.
12. Ensure that the governance team approves the SELPA's budget, additional requests for funding increases, and payment of extraordinary costs.
13. Ensure that the governance team sets priorities for mental health funding.



# Appendices

## Appendix A

Sample Funding Allocation Model

## Appendix B

Sample Fee Schedule for Direct Services

## Appendix C

Sample Funding Allocation Model including CHYBA

## Appendix D

Study Agreement





# Appendix A

## Sample Funding Allocation Plan



**2015-16 Special Education Funding  
Revenue Allocation Summary  
P2 Certification (June 2016)**

LEA/Resource	AB 602 State Appt 6500	AB 602 Prop Tax 6500	Reallocated Unspent 6500	Federal IDEA 3310	LCFF COE Transp 0000	Infant 3385/6500	Federal Preschool 3315/3320/3345	Mental Health 3327/6512	Total Revenue Allocation*
Burnt Ranch Elem	\$41,534	\$10,553	\$0	\$22,621	\$0				\$74,707
Coffee Creek Elem	\$4,282	\$1,088	\$0	\$2,332	\$0				\$7,702
Douglas City Elem	\$77,073	\$19,583	\$0	\$41,976	\$0				\$138,632
Junction City Elem	\$33,398	\$8,436	\$0	\$18,190	\$0				\$60,074
Lewiston Elem	\$23,550	\$5,984	\$0	\$12,826	\$1,533				\$43,893
Trinity Center Elem	\$4,282	\$1,088	\$0	\$2,332	\$0				\$7,702
Southern Trinity Jt Unified	\$48,385	\$12,293	\$0	\$26,352	\$0				\$87,030
Mountain Valley Unified	\$117,750	\$29,918	\$0	\$64,131	\$767				\$212,565
Trinity Alps Unified	\$289,452	\$73,543	\$0	\$157,645	\$6,133				\$526,773
Trinity COE	\$6,423	\$1,632	\$0	\$3,498	\$0	\$15,554	\$38,901		\$66,008
Trinity COE Pysci/Nursing	\$114,161								\$114,161
SELPA - Mental Health								\$101,854	\$101,854
SELPA - Low Incidence	\$3,895								\$3,895
SELPA	\$220,450								\$220,450
SELPA - SEEER	\$150,000								\$150,000
<b>Total</b>	<b>\$1,134,635</b>	<b>\$164,167</b>	<b>\$0</b>	<b>\$351,902</b>	<b>\$8,433</b>	<b>\$15,554</b>	<b>\$38,901</b>	<b>\$101,854</b>	<b>\$1,815,446</b>

\*Does not reflect the following Excess Costs from Trinity County's 2015-16 Excess Cost Worksheet Yearend (Refer to Appendix B Sample Fee Schedule):

Speech Support Staff	\$195,979
Instructional Support Staff	\$37,189
Additional Instruction Contract	\$8,851
Interpreter - by school site local ID#	\$72
TCOE Preschool	\$33,258
Mental Health Contracted Services	\$16,213
YTD Adaptive PE	\$2,590
Behavioral Health Services provided by Remi-Vista	\$1,680
PT, OT, Interpreters & Contract Speech Not Shared Actual	\$35,634
	<u>\$331,466</u>

**2015-16 Special Education Funding ~ LEA Revenue Calculations**  
**P2 Certification (June 2016)**

LEA	Oct 15	Base	COLA	Growth/Decline	Sub-Total	NSS PSIRS	Adj NSS Dec	Total	%	Direct Allocations	AB602 Alloc
Burnt Ranch Elem	97	\$59,871	\$487	(\$2,634)	\$57,724	\$12,345	\$1,054	\$72,123	6.43%	(\$30,589)	\$41,534
Coffee Creek Elem	10	\$6,172	\$50	(\$272)	\$5,951	\$1,376	\$109	\$7,435	0.66%	(\$3,153)	\$4,282
Douglas City Elem	180	\$111,102	\$903	(\$4,888)	\$107,117	\$24,764	\$1,955	\$133,835	11.93%	(\$56,753)	\$77,073
Junction City Elem	78	\$48,144	\$391	(\$2,118)	\$46,417	\$10,731	\$847	\$57,996	5.17%	(\$24,597)	\$33,398
Lewisdon Elem	55	\$33,948	\$276	(\$1,493)	\$32,730	\$7,567	\$597	\$40,894	3.64%	(\$17,344)	\$23,550
Trinity Center Elem	10	\$8,172	\$50	(\$272)	\$7,951	\$1,376	\$109	\$7,435	0.66%	(\$3,153)	\$4,282
Southern Trinity Jr Unified	113	\$69,747	\$567	(\$3,068)	\$67,246	\$15,546	\$1,227	\$84,019	7.49%	(\$35,635)	\$48,385
Mountain Valley Unified	275	\$169,739	\$1,390	(\$7,467)	\$163,651	\$37,833	\$2,987	\$204,472	18.22%	(\$86,721)	\$117,750
Trinity Alps Unified	678	\$417,248	\$3,393	(\$19,356)	\$402,285	\$93,001	\$7,342	\$502,629	44.80%	(\$2*3,177)	\$289,452
Trinity COE	15	\$9,258	\$75	(\$407)	\$8,926	\$2,064	\$163	\$11,153	0.99%	(\$4,730)	\$6,423
Total LEAs	1,509	\$931,402	\$7,573	(\$40,975)	\$898,000	\$207,602	\$16,390	\$1,121,992	100.00%	(\$475,553)	\$646,129

Pupils Transported	LCFF COE Sp Ed Transp
0	\$0
0	\$0
0	\$0
0	\$0
2	\$1,533
0	\$0
0	\$0
1	\$767
8	\$6,133
0	\$0
11	\$8,433

LEA	Prop Tax	AB602 Unspent	IDEA (RS 3310)
Burnt Ranch Elem	\$10,553	\$0	\$22,621
Coffee Creek Elem	\$1,088	\$0	\$2,332
Douglas City Elem	\$19,583	\$0	\$41,976
Junction City Elem	\$8,486	\$0	\$18,190
Lewisdon Elem	\$5,994	\$0	\$12,826
Trinity Center Elem	\$1,088	\$0	\$2,332
Southern Trinity Jr Unified	\$12,293	\$0	\$26,352
Mountain Valley Unified	\$29,918	\$0	\$64,131
Trinity Alps Unified	\$73,543	\$0	\$157,645
Trinity COE	\$1,632	\$0	\$3,498
Total LEAs	\$164,167	\$0	\$351,902

**2015-16 Special Education Funding ~ Factors**  
**P2 Certification (June 2016)**

LEA	2013-14 ADA	Oct 13 CalPads	2014-15 ADA	Oct 14 CalPads	2015-16 ADA	Oct 15 CalPads	Pupils Transported
Burnt Ranch Elem	83.18	90	90.87	96	91.84	97	
Coffee Creek Elem	10.07	11	10.26	12	9.13	10	
Douglas City Elem	167.96	170	181.48	186	172.69	180	
Junction City Elem	77.35	81	82.80	89	73.62	78	
Lewiston Elem	48.76	53	47.70	51	51.81	55	2
Trinity Center Elem	13.94	16	10.58	11	9.30	10	
Southern Trinity Jt Unified	78.94	84	94.94	101	108.54	113	
Mountain Valley Unified	298.11	330	275.72	296	257.32	275	1
Trinity Alps Unified	682.79	706	596.05	660	626.51	676	8
Trinity COE	30.85	27	17.57	15	14.30	15	
Cox Bar	6.89	9					
<b>Totals</b>	<b>1,468.84</b>	<b>1,577</b>	<b>1,407.97</b>	<b>1,517</b>	<b>1,415.06</b>	<b>1,509</b>	<b>11</b>

Funding		State Factor
Base	\$931,402	13/14 ADA
COLA	\$7,573	14/15 ADA
Growth/Declining	<del>(\$40,975)</del>	15/16-13/14 ADA
Sub-Total	\$898,000	
NSS PS/RS	\$207,602	15/16 ADA
Low Incidence	\$3,895	9 Pupil Count
Out of Home Care	\$8,748	
Extraordinary Cost Pool	\$0	
Adj NSS Declining	\$16,390	15/16 ADA
<b>Total, AB 602</b>	<b>\$1,134,635</b>	
Property Taxes, AB602	\$164,167	13/14 ADA
Reallocated Unspent Funding	\$0	
IDEA (RS 3310)	\$351,902	
LCFF COE Sp Ed Transp	\$8,433	
Infant IDEA (RS 3385)	\$15,554	
Infant State (RS 6500)	\$0	
PS IDEA (RS 3315)	\$20,807	
PS IDEA (RS 3320)	\$17,355	
PS Staff Dev (RS3345)	\$739	
Mental Health (3327)	\$16,213	
Mental Health (6512)	\$85,641	
<b>Total</b>	<b>\$1,815,446</b>	

Direct Allocations	
**SEER	\$150,000
**SELPA	\$211,702
COE Psychologists	\$94,633
COE Nursing	\$19,528
<b>Total</b>	<b>\$475,863</b>

\*If used restore to \$150,000

\*\*Less Out of Home Care Allocation

SEER Prior Year Carryover	\$0
SELPA Prior Year Carryover	\$0
Psych Prior Year Carryover	\$0
Nursing Prior Year Carryover	\$0

### 2015-16 Special Education ~ Direct Allocation Service Costs

Description	FTE	Object	SELPA	Psychologists	Nursing	Total*
"Staffing Costs"		1000	\$177,453	\$94,434	\$19,528	\$291,415
		2000				\$0
		3000				\$0
Books and Supplies		4000	\$11,050			\$11,050
NASN & CSNO		5000	\$62			\$62
ACSA Dues		5000	\$669			\$669
NASP Membership		5000		\$199		\$199
SEACO Membership		5000	\$550			\$550
Annual SEIS		5000	\$5,000			\$5,000
SELPA Dues		5000	\$1,000			\$1,000
Coalition for Adequate Funding		5000	\$650			\$650
Mileage /Conference		5000	\$14,753			\$14,753
All Other Services		5000	\$9,263			\$9,263
Total, Allocated Costs			\$220,450	\$94,633	\$19,528	\$334,611

\*Data from Trinity County's 2015-16 Excess Cost Worksheet Yearend.

## Appendix B

### Sample Fee Schedule





## 2015-16 TCOE Special Education Fee Schedule

### Speech Services

Description	FTE	Projected Cost
Speech Therapist ~ Snickers	0.56	\$38,934
Speech Therapist ~ Pickett	0.83	\$83,040
Speech Therapist ~ Spaulding	0.20	\$13,103
Speech Therapist ~ Bishop	0.57	\$38,247
Speech Therapist ~ Medley	0.33	\$18,990
Speech Therapy ~ Substitutes		
Contracted Speech Services ~ Telecare	0.04	\$3,665
Contracted Speech Services		
COE Special Education Director		
COE Special Education Secretary		
Books and Supplies		
Mileage		
Travel & Conference		
Indirect Charges		
<b>Total, Program Cost</b>		<b>\$195,979</b>

<i>Example Using Student Counts</i>		
Number of Students ~ December 1 Count *		100
<b>Cost Distributed per Student</b>		<b>\$1,960</b>
LEA	Student Count	Invoiced Amount
Burnt Ranch Elem	4	\$7,839
Coffee Creek Elem		\$0
Douglas City Elem	4	\$7,839
Junction City Elem	6	\$11,759
Lewiston Elem	8	\$15,678
Trinity Center Elem		\$0
Southern Trinity Jt Unified	8	\$15,678
Mountain Valley Unified	27	\$52,914
Trinity Alps Unified	28	\$54,874
Trinity COE	3	\$5,879
Trinity COE Preschool	12	\$23,517
<b>Total</b>	<b>100</b>	<b>\$195,979</b>

*\*Used 100 for example purposes, actual number of Students unknown*

<i>Example Using Student Annual Hours</i>		
Number of Annual Student Hours ~ December 1*		2,325
Cost Distributed per Student Annual Hours		\$84
LEA	Student Hours	Invoiced Amount
Burnt Ranch Elem	91	\$7,671
Coffee Creek Elem		\$0
Douglas City Elem	88	\$7,418
Junction City Elem	137	\$11,548
Lewiston Elem	180	\$15,173
Trinity Center Elem		\$0
Southern Trinity Jt Unified	185	\$15,594
Mountain Valley Unified	638	\$53,778
Trinity Alps Unified	653	\$55,043
Trinity COE	72	\$6,069
Trinity COE Preschool	281	\$23,686
<b>Total</b>	<b>2,325</b>	<b>\$195,979</b>

*\*Used 2,325 for example, actual number of Annual Student Hours unknown*

<i>Example Using Speech FTE Allocation</i>		
Number of Speech Therapist FTE*		2.53
Cost Distributed per Allocated Speech FTE		\$77,462
LEA	Speech FTE	Invoiced Amount
Burnt Ranch Elem	0.10	\$7,669
Coffee Creek Elem		\$0
Douglas City Elem	0.10	\$7,436
Junction City Elem	0.15	\$11,542
Lewiston Elem	0.20	\$15,183
Trinity Center Elem	0.00	\$0
Southern Trinity Jt Unified	0.20	\$15,570
Mountain Valley Unified	0.69	\$53,759
Trinity Alps Unified	0.71	\$55,076
Trinity COE	0.08	\$6,042
Trinity COE Preschool	0.31	\$23,703
<b>Total</b>	<b>2.53</b>	<b>\$195,979</b>

*\*FTE from Trinity County's 2015-16 Excess Cost Worksheet Yearend*

## Appendix C

### Sample Funding Allocation Plan (CHYBA)



**2015-16 Special Education Funding**  
**Revenue Allocation Summary**  
P2 Certification (June 2016)

LEA/Resource	AB 602 State Apport 6500	AB 602 Prop Tax 6500	Reallocated Unspent 6500	Federal IDEA 3310	LCFF COE Transp 0000	Infant 3385/6500	Federal Preschool 3315/3320/3345	Mental Health 3327/6512	Total Revenue Allocation
Burnt Ranch Elem	\$41,231	\$10,085	\$0	\$21,618	\$0				\$72,933
Coffee Creek Elem	\$4,251	\$1,040	\$0	\$2,229	\$0				\$7,519
Douglas City Elem	\$76,510	\$18,714	\$0	\$40,115	\$0				\$135,340
Junction City Elem	\$33,154	\$8,110	\$0	\$17,383	\$0				\$58,647
Lewiston Elem	\$23,378	\$5,718	\$0	\$12,258	\$1,533				\$42,887
Trinity Center Elem	\$4,251	\$1,040	\$0	\$2,229	\$0				\$7,519
Southern Trinity Jt Unified	\$48,031	\$11,748	\$0	\$25,184	\$0				\$84,964
Mountain Valley Unified	\$116,891	\$28,591	\$0	\$61,288	\$767				\$207,536
Trinity Alps Unified	\$287,339	\$70,283	\$0	\$150,656	\$6,133				\$514,411
Trinity COE	\$6,376	\$1,560	\$0	\$3,343	\$0	\$15,554	\$38,901		\$65,733
Trinity COE Psyc/Nursing	\$114,161								\$114,161
<b>CHYBA</b>	<b>\$29,754</b>	<b>\$7,278</b>	<b>\$0</b>	<b>\$15,600</b>	<b>\$0</b>				<b>\$52,632</b>
SELPA - Mental Health								\$101,854	\$101,854
SELPA - Low Incidence	\$3,895								\$3,895
SELPA	\$220,450								\$220,450
SELPA - SEEER	\$150,000								\$150,000
<b>Total</b>	<b>\$1,159,671</b>	<b>\$164,167</b>	<b>\$0</b>	<b>\$351,902</b>	<b>\$8,433</b>	<b>\$15,554</b>	<b>\$38,901</b>	<b>\$101,854</b>	<b>\$1,840,482</b>

\*Does not reflect the following Excess Costs from Trinity County's 2015-16 Excess Cost Worksheet Yearend (Refer to Appendix B Sample Fee Schedule):

Speech Support Staff \$195,979

Instructional Support Staff \$37,189

Additional Instruction Contract \$8,851

Interpreter - by school site local ID# \$72

TCOE Preschool \$33,258

Mental Health Contracted Services \$16,213

YTD Adaptive PE \$2,590

Behavioral Health Services provided by Remi-Vista \$1,680

PT, OT, Interpreters & Contract Speech Not Shared Actual \$35,634

\$331,466

**2015-16 Special Education Funding ~ LEA Revenue Calculations**  
**P2 Certification (June 2016)**

LEA	Oct 15	Base	COLA	Growth/Decline	Sub-Total	NSS PSRS	Adj NSS Dec	Total	%	Direct Allocations	AB602 Alloc
Burnt Ranch Elem	97	\$57,217	\$465	\$90	\$57,763	\$12,700	\$0	\$70,463	6.14%	(\$29,233)	\$41,231
Coffee Creek Elem	10	\$5,899	\$48	\$8	\$5,955	\$1,309	\$0	\$7,264	0.63%	(\$3,014)	\$4,251
Douglas City Elem	180	\$106,176	\$963	\$149	\$107,189	\$23,568	\$0	\$130,757	11.40%	(\$54,247)	\$76,510
Junction City Elem	78	\$46,010	\$374	\$65	\$46,449	\$10,213	\$0	\$56,661	4.94%	(\$23,507)	\$33,154
Lewiston Elem	55	\$32,443	\$264	\$46	\$32,752	\$7,201	\$0	\$39,953	3.48%	(\$16,575)	\$23,378
Trinity Center Elem	10	\$5,899	\$48	\$8	\$5,955	\$1,309	\$0	\$7,264	0.63%	(\$3,014)	\$4,251
Southern Trinity Jt Unified	113	\$66,666	\$542	\$94	\$67,291	\$14,795	\$0	\$82,086	7.16%	(\$34,055)	\$48,031
Mountain Valley Unified	275	\$162,214	\$1,319	\$229	\$163,761	\$36,007	\$0	\$199,767	17.47%	(\$82,877)	\$116,891
Trinity Alps Unified	676	\$398,751	\$3,242	\$561	\$402,554	\$86,511	\$0	\$491,065	42.81%	(\$203,726)	\$287,339
Trinity COE	15	\$8,848	\$72	\$12	\$8,932	\$1,964	\$0	\$10,898	0.95%	(\$4,521)	\$6,376
<b>CHYBA</b>	<b>70</b>	<b>\$41,291</b>	<b>\$336</b>	<b>\$58</b>	<b>\$41,685</b>	<b>\$9,165</b>	<b>\$0</b>	<b>\$50,850</b>	<b>4.49%</b>	<b>(\$21,096)</b>	<b>\$29,754</b>
Total LEAs	1,579	\$931,402	\$7,573	\$1,310	\$940,285	\$206,743	\$0	\$1,147,028	100.00%	(\$475,863)	\$671,165

Pupils Transported	LCFF COE So Ed Trans
0	\$0
0	\$0
0	\$0
0	\$0
2	\$1,533
0	\$0
0	\$0
1	\$767
8	\$6,133
0	\$0
11	\$8,433

LEA	Prop Tax	AB602 Unspent	IDEA (RS 3310)
Burnt Ranch Elem	\$10,085	\$0	\$21,618
Coffee Creek Elem	\$1,040	\$0	\$2,229
Douglas City Elem	\$18,714	\$0	\$40,115
Junction City Elem	\$8,110	\$0	\$17,383
Lewiston Elem	\$5,718	\$0	\$12,258
Trinity Center Elem	\$1,040	\$0	\$2,229
Southern Trinity Jt Unified	\$11,748	\$0	\$25,184
Mountain Valley Unified	\$28,591	\$0	\$61,288
Trinity Alps Unified	\$70,283	\$0	\$150,656
Trinity COE	\$1,560	\$0	\$3,343
<b>CHYBA</b>	<b>\$7,278</b>	<b>\$0</b>	<b>\$15,600</b>
Total LEAs	\$164,167	\$0	\$351,902

**2015-16 Special Education Funding ~ Factors**  
**P2 Certification (June 2016)**

LEA	2013-14 ADA	Oct 13 CalPads	2014-15 ADA	Oct 14 CalPads	2015-16 ADA	Oct 15 CalPads	Pupils Transported
Burnt Ranch Elem	83.18	90	90.87	96	91.84	97	
Coffee Creek Elem	10.07	11	10.26	12	9.13	10	
Douglas City Elem	167.96	170	181.48	186	172.69	180	
Junction City Elem	77.35	81	82.80	89	73.62	78	
Lewiston Elem	48.76	53	47.70	51	51.81	55	2
Trinity Center Elem	13.94	16	10.58	11	9.30	10	
Southern Trinity Jt Unified	78.94	84	94.94	101	108.54	113	
Mountain Valley Unified	298.11	330	275.72	296	257.32	275	1
Trinity Alps Unified	652.79	706	596.05	660	626.51	676	8
Trinity COE	30.85	27	17.57	15	14.30	15	
Cox Bar	6.89	9					
<b>CHYBA</b>					<b>56.24</b>	<b>70</b>	
<b>Totals</b>	<b>1,468.84</b>	<b>1,577</b>	<b>1,407.97</b>	<b>1,517</b>	<b>1,471.30</b>	<b>1,579</b>	<b>11</b>

Direct Allocations	
*SEER	\$150,000
**SELPA	\$211,702
COE Psychologists	\$94,633
COE Nursing	\$19,528
<b>Total</b>	<b>\$475,863</b>

\*If used restored to \$150,000

\*\*Less Out of Home Care Allocation

SEER Prior Year Carryover	\$0
SELPA Prior Year Carryover	\$0
Psyc Prior Year Carryover	\$0
Nursing Prior Year Carryover	\$0

Funding		State Factor
Base	\$931,402	13/14 ADA
COLA	\$7,573	14/15 ADA
Growth/Declining	\$1,310	15/16-13/14 ADA
Sub-Total	\$940,285	
NSS PS/RS	\$206,743	15/16 ADA
Low Incidence	\$3,895	9 Pupil Count
Out of Home Care	\$8,748	
Extraordinary Cost Pool	\$0	15/16 ADA
Adj NSS Declining	\$0	
<b>Total, AB 602</b>	<b>\$1,159,671</b>	
Property Taxes, AB602	\$164,167	13/14 ADA
Reallocated Unspent Funding	\$0	
IDEA (RS 3310)	\$351,902	
LCFF COE Sp Ed Transp	\$8,433	
Infant IDEA (RS 3385)	\$15,554	
Infant State (RS 6500)	\$0	
PS IDEA (RS 3315)	\$20,807	
PS IDEA (RS 3320)	\$17,355	
PS Staff Dev (RS3345)	\$739	
Mental Health (3327)	\$16,213	
Mental Health (6512)	\$85,641	
<b>Total</b>	<b>\$1,840,482</b>	



### 2015-16 Special Education ~ Direct Allocation Service Costs

Description	FTE	Object	SELPA	Psychologists	Nursing	Total*
"Staffing Costs"		1000	\$177,453	\$94,434	\$19,528	\$291,415
		2000				\$0
		3000				\$0
Books and Supplies		4000	\$11,050			\$11,050
NASN & CSNO		5000	\$62			\$62
ACSA Dues		5000	\$669			\$669
NASP Membership		5000		\$199		\$199
SEACO Membership		5000	\$550			\$550
Annual SEIS		5000	\$5,000			\$5,000
SELPA Dues		5000	\$1,000			\$1,000
Coalition for Adequate Funding		5000	\$650			\$650
Mileage /Conference		5000	\$14,753			\$14,753
All Other Services		5000	\$9,263			\$9,263
Total, Allocated Costs			\$220,450	\$94,633	\$19,528	\$334,611

\*Data from Trinity County's 2015-16 Excess Cost Worksheet Yearend.



## Appendix D

### Study Agreement



# FCMAT

FISCAL CRISIS & MANAGEMENT  
ASSISTANCE TEAM

CSIS California School Information Services

---

## **FISCAL CRISIS & MANAGEMENT ASSISTANCE TEAM STUDY AGREEMENT June 7, 2016**

The Fiscal Crisis and Management Assistance Team (FCMAT), hereinafter referred to as the team, and the Trinity County Office of Education/SELPA, hereinafter referred to as the COE, mutually agree as follows:

### **1. BASIS OF AGREEMENT**

The team provides a variety of services to local educational agencies (LEAs). The COE has requested that the team assign professionals to study specific aspects of the county operations. These professionals may include staff of the team, county offices of education, the California State Department of Education, school districts, or private contractors. All work shall be performed in accordance with the terms and conditions of this agreement.

### **2. SCOPE OF THE WORK**

#### **A. Scope and Objectives of the Study**

1. Review the current Trinity Special Education Local Plan Area (SELPA) allocation funding model and make recommendations for a more equitable distribution to districts, if needed. In addition, review the bill-back model.

#### **B. Services and Products to be Provided**

1. Orientation Meeting - The team will conduct an orientation session at the COE to brief COE management and supervisory personnel on the team's procedures and the purpose and schedule of the study.
2. On-site Review - The team will conduct an on-site review at the COE office and at school sites if necessary.
3. Exit Meeting - The team will hold an exit meeting at the conclusion of the on-site review to inform the COE of significant findings and recommendations to that point.

4. Exit Letter – Approximately 10 days after the exit meeting, the team will issue an exit letter briefly memorializing the topics discussed in the exit meeting.
5. Draft Report - Electronic copies of a preliminary draft report will be delivered to the COE's administration for review and comment.
6. Final Report - Electronic copies of the final report will be delivered to the COE's administration following completion of the review. The final report will be published on the FCMAT website. Printed copies are available from FCMAT upon request.
7. Follow-Up Support – If requested by the COE within six to 12 months after completion of the study, FCMAT will return to the COE at no cost to assess the COE's progress in implementing the recommendations included in the report. Progress in implementing the recommendations will be documented to the COE in a FCMAT management letter. FCMAT will work with the COE on a mutually convenient time to return for follow-up support that is no sooner than eight months and no later than 18 months after the completion of the study.

### 3. **PROJECT PERSONNEL**

The study team will be supervised by Michael H. Fine, Chief Administrative Officer, Fiscal Crisis and Management Assistance Team, Kern County Superintendent of Schools Office. The study team may also include:

<i>A.</i>	<i>To Be Determined</i>	<i>FCMAT Staff</i>
<i>B.</i>	<i>To be determined</i>	<i>FCMAT Consultant</i>
<i>C.</i>	<i>To be determined</i>	<i>FCMAT Consultant</i>

Other equally qualified staff or consultants will be substituted in the event one of the above individuals is unable to participate in the study.

### 4. **PROJECT COSTS**

The cost for studies requested pursuant to Education Code (EC) 42127.8(d)(1) shall be as follows:

- A. \$500.00 per day for each staff team member while on site, conducting fieldwork at other locations, presenting reports, or participating in meetings. The cost of independent FCMAT consultants will be billed at their actual daily rate for all work performed.

- B. All out-of-pocket expenses, including travel, meals, and lodging.
- C. The COE will be invoiced at actual costs, with 50% of the estimated cost due following the completion of the on-site review and the remaining amount due upon COE's acceptance of the final report.

**Based on the elements identified in section 2A, the total not-to-exceed cost of the study will be \$19,900.**

- D. Any change to the scope will affect the estimate of total cost.

Payments for FCMAT services are payable to Kern County Superintendent of Schools - Administrative Agent.

##### **5. RESPONSIBILITIES OF THE COE**

- A. The COE will provide office and conference room space during on-site reviews.
- B. The COE will provide the following if requested:
  - 1. Policies, regulations and prior reports that address the study scope.
  - 2. Current or proposed organizational charts.
  - 3. Current and two prior years' audit reports.
  - 4. Any documents requested on a supplemental list. Documents requested on the supplemental list should be provided to FCMAT only in electronic format; if only hard copies are available, they should be scanned by the COE and sent to FCMAT in electronic format.
  - 5. Documents should be provided in advance of fieldwork; any delay in the receipt of the requested documents may affect the start date and/or completion date of the project. Upon approval of the signed study agreement, access will be provided to FCMAT's online SharePoint document repository, where the COE shall upload all requested documents.
- C. The COE's administration will review a preliminary draft copy of the report resulting from the study. Any comments regarding the accuracy of the data presented in the report or the practicability of the recommendations will be reviewed with the team prior to completion of the final report.

Pursuant to EC 45125.1(c), representatives of FCMAT will have limited contact with pupils. The COE shall take appropriate steps to comply with EC 45125.1(c).

## 6. PROJECT SCHEDULE

The following tentative schedule outlines the planned completion dates for different phases of the study:

<i>Orientation:</i>	<i>to be determined</i>
<i>Staff Interviews:</i>	<i>to be determined</i>
<i>Exit Meeting:</i>	<i>to be determined</i>
<i>Preliminary Report Submitted:</i>	<i>to be determined</i>
<i>Final Report Submitted:</i>	<i>to be determined</i>
<i>Board Presentation:</i>	<i>to be determined, if requested</i>
<i>Follow-Up Support:</i>	<i>if requested</i>

## 7. COMMENCEMENT, TERMINATION AND COMPLETION OF WORK

FCMAT will begin work as soon as it has assembled an available and appropriate study team consisting of FCMAT staff and independent consultants, taking into consideration other jobs FCMAT has previously undertaken and assignments from the state. The team will work expeditiously to complete its work and deliver its report, subject to the cooperation of the COE and any other parties from which, in the team's judgment, it must obtain information. Once the team has completed its fieldwork, it will proceed to prepare a preliminary draft report and a final report. Prior to completion of fieldwork, the COE may terminate its request for service and will be responsible for all costs incurred by FCMAT to the date of termination under Section 4 (Project Costs). If the COE does not provide written notice of termination prior to completion of fieldwork, the team will complete its work and deliver its report and the COE will be responsible for the full costs. The COE understands and agrees that FCMAT is a state agency and all FCMAT reports are published on the FCMAT website and made available to interested parties in state government. In the absence of extraordinary circumstances, FCMAT will not withhold preparation, publication and distribution of a report once fieldwork has been completed, and the COE shall not request that it do so.

## 8. INDEPENDENT CONTRACTOR

FCMAT is an independent contractor and is not an employee or engaged in any manner with the COE. The manner in which FCMAT's services are rendered shall be within its sole control and discretion. FCMAT representatives are not authorized to speak for, represent, or obligate the COE in any manner without prior express written authorization from an officer of the COE.

9. **INSURANCE**

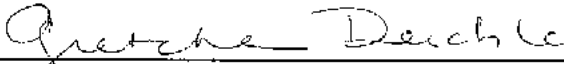
During the term of this agreement, FCMAT shall maintain liability insurance of not less than \$1 million unless otherwise agreed upon in writing by the COE, automobile liability insurance in the amount required under California state law, and workers compensation as required under California state law. FCMAT shall provide certificates of insurance, with Trinity County Office of Education named as additional insured, indicating applicable insurance coverages upon request.


10. **HOLD HARMLESS**

FCMAT shall hold the COE, its board, officers, agents and employees harmless from all suits, claims and liabilities resulting from negligent acts or omissions of its board, officers, agents and employees undertaken under this agreement. Conversely, the COE shall hold FCMAT, its board, officers, agents and employees harmless from all suits, claims and liabilities resulting from negligent acts or omissions of its board, officers, agents and employees undertaken under this agreement.

11. **CONTACT PERSON**

Contact person: Anthony Rebelo, SEI/PA Director  
 Telephone: (530) 623-2861  
 E-mail: [arebelo@tcoek12.org](mailto:arebelo@tcoek12.org)

 6-7-16  
 Gretchen Deichler, Chief Business Official Date  
 Trinity County Office of Education

  
 Michael H. Fine June 7, 2016 Date  
 Chief Administrative Officer  
 Fiscal Crisis and Management Assistance Team

