

**Student Achievement and School Accountability Programs (SASA)  
Monitoring Plan for Formula Grant Programs  
for  
October 1, 2006 to September 30, 2007**



**October 2006**

# Title I, Compliance Monitoring

## Table of Contents

<b>I. INTRODUCTION</b> .....	<b>3</b>
<b>II. MONITORING INDICATORS</b> .....	<b>4</b>
A. <i>Monitoring Title I, Part A: Improving Basic Programs Operated by Local Educational Agencies (Title I, Part A)</i> .....	5
B. <i>Monitoring Title I, Part B, Subpart 3: William F. Goodling Even Start Family Literacy Programs (Even Start)</i> .....	5
C. <i>Monitoring Title I, Part D: Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk (N/D)</i> .....	6
D. <i>Monitoring Title X, Part C: McKinney-Vento Homeless Education Assistance Act of 2001</i> .....	6
<b>III. THE MONITORING PROCESS</b> .....	<b>7</b>
A. <i>Description of The Monitoring Process</i> .....	7
1. <i>Desk Review</i> .....	8
2. <i>Pre-Site Monitoring</i> .....	8
B. <i>Monitoring Team</i> .....	9
C. <i>Exit Conference</i> .....	9
<b>IV. MONITORING FEEDBACK AND FOLLOW-UP</b> .....	<b>10</b>
A. <i>Monitoring Report</i> .....	10
B. <i>SEA Response</i> .....	10
C. <i>Conditions</i> .....	10
D. <i>Follow-Up</i> .....	11
E. <i>Report Analysis</i> .....	11
<b>V. MONITORING INDICATORS:</b> .....	<b>12</b>
A. <i>Overarching Requirement A: SEA Sub-recipient Monitoring:</i> .....	13
B. <i>Standards, Assessment and Accountability</i> .....	14
C. <i>Program Improvement, Parental Involvement, and Options</i> .....	32
D. <i>Fiduciary</i> .....	53
E. <i>Monitoring Indicators for Title I, Part B: Even Start</i> .....	83
F. <i>McKinney-Vento Homeless Education Programs</i> .....	104
G. <i>Title I, Part D Neglected and Delinquent</i> .....	111
H. <i>Appendix</i> .....	117

## **I. INTRODUCTION**

Monitoring the implementation of Federal programs and the use of Federal program funds is an essential function of the U. S. Department of Education (ED). This document describes the purpose, rationale, and process used by the Student Achievement and School Accountability programs (SASA) office in monitoring the use of Title I and related programs implementation funds by State educational agencies (SEAs) State educational agencies are interchangeably referred to us “SEAs” or “States” throughout this document for the 2006-2007 school year. This document will be reviewed and revised periodically to reflect lessons learned and programmatic clarification.

Perhaps no funding has more potential for positively impacting the education of the nation’s children than the nearly \$13 billion dollars that is awarded to State and local educational agencies through Title I, Part A, Improving Basic Programs Operated by Local Educational Agencies. SASA also is responsible for the administration of: the William F. Goodling Even Start Family Literacy Program (Even Start), Title I, Part B, Subpart 3; the Prevention and Intervention Program for Children and Youth Who are Neglected, Delinquent or At-Risk of Dropping Out of school (N/D), Title I, Part D; and, the McKinney-Vento Homeless Education Assistance Act of 2001 (Homeless), Title X, Part C. These programs provide nearly \$211 million to States, and support the Title I mission of improving teaching and learning for children attending high-poverty schools.

Finally, monitoring supports the alignment of State and local efforts with the principles of *No Child Left Behind*. Monitoring provides local policy makers and educators with the data necessary to make educational improvements and holds schools accountable for ensuring that all students reach proficiency or above in reading and math by 2014.

### **A. Definition and Purpose of Monitoring**

Monitoring is the regular and systematic examination of a State’s administration and implementation of a Federal education grant, contract, or cooperative agreement administered by ED. Monitoring the use of Federal funds has long been an essential function of ED. ED monitors programs under the general administrative authority of the U. S. Department of Education Organization Act. Section 80.40(e) of Education Department General Administrative Regulations (EDGAR) also permits ED to make site visits as warranted by program needs.

Monitoring of programs administered by SASA is necessary to ensure that *all* children have a fair, equal, and significant opportunity to obtain a high-quality education. Monitoring assesses the extent to which States provide leadership and guidance for local educational agencies (LEAs) and schools in implementing policies and procedures that comply with Title I, Part A’s Even Start’s; N/D’s; and Homeless’s statutes and regulations.

Monitoring formalizes the integral relationship between ED and the States. It emphasizes, first and foremost, accountability for using resources wisely in the critical venture of educating and preparing our nation's students. As a result of monitoring, ED is able to gather data about State and local needs and use that data to design technical assistance initiatives and national leadership activities. Thus, monitoring serves not only as a means for helping States achieve high-quality implementation of educational programs, it also helps ED to be a better advisor and partner with States in that effort. SASA monitoring efforts are designed to focus on the results of States' efforts to implement critical requirements of No Child Left Behind (NCLB) using available resources and the flexibility provisions available to States and LEAs. Data from State monitoring also informs the programs' performance indicators under the Government Performance Results Act.

ED policy requires every program office overseeing discretionary or formula grant programs to prepare a monitoring plan for each of its programs. The plans are designed to link establish monitoring to in achieving program goals and objectives; adhering to laws, regulations, and assurances governing the program; and conforming to the approved application and other relevant documents. In a July 2002 memo from the Deputy Secretary, each principal office was advised to monitor (1) for results; (2) to ensure compliance with the law; and (3) to protect against waste, fraud and abuse. This document reflects SASA's response to this policy memorandum.

## **B. Monitoring and the Strategic Plan**

The Education Department's 2002-2007 *Strategic Plan*<sup>1</sup> focuses on performance and outlines specific objectives, performance measures and targets in a coordinated effort to achieve measurable results for students. Regular monitoring of SEA programs contributes to the accomplishment of the objectives and strategies outlined in the plan. It also supports the core principles of *No Child Left Behind* as we help States leverage the law to improve academic performance for all students.

## **II. MONITORING INDICATORS**

The content of SASA's monitoring is based on the States' responsibility to provide guidance and support to LEAs and schools based on the requirements of NCLB. Monitoring States' implementation of programs administered by SASA means examining closely State policies, systems, and procedures to ensure LEA and school compliance with the statute and regulations.

ED uses clear and consistent criteria—monitoring indicators—to determine the degree of implementation of SEA programs and activities. For the four programs monitored under this plan, SASA staff have developed indicators in each of the three monitoring areas (Standards, Assessment and Accountability; Program Improvement, Parental

---

<sup>1</sup> The Department of Education's Strategic Plan 2002 – 2007 is available at [www.ed.gov/about/reports/strat/plan2002-07](http://www.ed.gov/about/reports/strat/plan2002-07)

Involvement and Options; and Fiduciary). The use of such criteria ensures a consistent application of these standards across monitoring teams and across States. The published indicators provide guidance for all States regarding the purpose and intended outcomes of monitoring by describing what is being monitored and providing the criteria for judging the quality of implementation (acceptable evidence).

The complete texts of the monitoring indicators for each program administered by SASA and monitored under this plan are contained in the Appendices. Please note that the indicators are written broadly to cover all the requirements of each topic. Examples of documentation and evidence that States and LEAs can provide to show compliance with these requirements are listed for each indicator.

### **A. Monitoring Title I, Part A: Improving Basic Programs Operated by Local Educational Agencies (Title I, Part A)**

“The purpose of this title is to ensure that all children have a fair, equal, and significant opportunity to obtain a high-quality education and reach, at a minimum, proficiency on challenging State academic achievement standards and State academic assessments” (Title I, Sec.1001).

Title I, Part A provides financial assistance through SEAs to LEAs and schools with high numbers or percentages of children from low-income families to help meet the educational needs of children who are most at risk of failing to meet challenging State academic achievement standards and State academic assessments. SEAs have significant and far-reaching responsibilities to LEAs that support the purpose of this title. Some of those major responsibilities include:

- Assuring that assessments, teacher preparation and training, and instruction are aligned with each State’s academic standards;
- Meeting the educational needs of low-achieving children;
- Focusing on closing the achievement gap and targeting resources to those LEAs and schools with the greatest needs;
- Providing parents with opportunities to be involved in meaningful ways in the education of their children; and,
- Holding schools and LEAs accountable for improving the academic achievement of all students. (See Appendix A for Title I, Part A Indicators.)

### **B. Monitoring Title I, Part B, Subpart 3: William F. Goodling Even Start Family Literacy Programs (Even Start)**

“It is the purpose of this subpart to help break the cycle of poverty and illiteracy by improving the educational opportunities of the Nation’s low-income families” (Title I, Part B, Subpart 3, Sec. 1231).

Even Start offers promise in helping to break the intergenerational cycle of poverty and low literacy in the Nation. The program integrates early childhood education, adult

literacy (adult basic and secondary-level education and/or instruction for English language learners), parenting education, and interactive parent and child literacy activities into a single, unified family literacy program. At a minimum, a successful Even Start project should:

- Build on high-quality community resources;
- Employ qualified staff;
- Carry out instruction grounded in scientifically based reading research;
- Be able to document significant literacy achievement results (for both adults and children) in the families served; and
- Make sufficient program progress as defined by the State.  
(See Appendix B for Title I, Part A Indicators)

**C. Monitoring Title I, Part D: Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk (N/D)**

“It is the purpose of this part to improve educational services for children and youth in local and State institutions for neglected or delinquent children and youth so that such children and youth have the opportunity to meet the same challenging State academic achievement standards and State academic assessments that all children in the State are expected to meet” (Title I, Part D, Sec. 1401).

A growing juvenile correctional system and the educational needs of students in that system established the need for the N/D program. SEAs provide financial assistance to State agencies and LEAs to promote educational programs for youths in state-operated institutions or community day programs to ensure that these students are provided a high-quality education.

**D. Monitoring Title X, Part C: McKinney-Vento Homeless Education Assistance Act of 2001**

“Each State educational agency shall ensure that each child of a homeless individual and each homeless youth has equal access to the same free, appropriate public education, including a public preschool education, as provided to other children and youth” (Title X, Part C, Sec. 721(1)).

The McKinney-Vento program is designed to address the problems that homeless children and youth face in enrolling, attending, and succeeding in school. Homeless children and youth should have access to educational and other services that they need to meet the same State academic achievement standards and State academic assessments to which all students are held. States and LEAs are required to review and undertake steps to revise laws, regulations, practices, or policies that may act as barriers to the enrollment, attendance, or success in school of homeless children and youth (See Appendix D for Title X, Part C Indicators.)

### **III. THE MONITORING PROCESS**

Monitoring States' implementation of programs administered by SASA provides an opportunity to examine how States have instituted policies, systems, and procedures to ensure LEA and school compliance with the statute and regulations. Monitoring serves many purposes:

- Formalizes the shared responsibility of SASA and the States to improve student achievement and close the achievement gap in order to have all students reach proficiency.
- Provides a vehicle to SASA's legal responsibility to monitor the implementation of Title I and related programs it administers.
- Leverages support for broad scale implementation in all districts that receive these funds.
- Ensures that States and school districts provide critical information to parents that enable them to be full partners in their children's education.
- Provides data that informs technical assistance that supports States' and school districts' efforts to improve teaching and learning.
- Provides data to inform ED's policy and national leadership activities.

#### **A. Description of The Monitoring Process**

SASA's monitoring plan consists of two major components that help SEAs build capacity to improve student achievement and ensure program compliance:

- The desk review monitoring process, and
- The on-site review, including the pre-site phase.

At some point during ED's three-year monitoring cycle, each SEA will be monitored on-site. SASA staff will collect data specific to the monitoring indicators during the pre-site review to determine compliance with the monitoring indicators. The content of the on-site review will be State-specific, determined by the monitoring teams, and based in large part on the results of the pre-site review. As the monitoring process is a 'snapshot' of State implementation, approval of corrective actions required as a result of a monitoring activity are specific to compliance issues cited in monitoring reports and do not address emerging issues. Monitoring outside of the scheduled cycle may be arranged as needed if a State has serious or chronic compliance problems or has unresolved issues identified during either the desk review or the monitoring process.

## 1. Desk Review

Each State has been assigned to a SASA staff member who functions as a State contact primarily responsible for information transmitted between the States and ED. One of the most important functions of the State contact is the preparation and maintenance of the ongoing desk review for each assigned State. In conducting the ongoing desk review, State contacts gather and analyze information related to the four formula programs that SASA administers. Desk reviews include an examination of specific program information. The State contact can follow major education events in the assigned State and make determinations about overall trends in student and school performance data, unresolved issues and/or areas where additional information is needed, compliance problems and problems with program implementation. Further, each State contact ensures that State policies and guidance to LEAs are consistent with NCLB. Your assigned State contact may be contacting the SEA on an ongoing basis.

In some desk review is an important part of SASA's ongoing monitoring process for all States, and is a continuous process performed throughout the year by SASA State contacts. The current desk review process enables SASA staff to:

- Analyze and track States' progress in implementing critical provisions of NCLB;
- Provide information about changes in State policies and guidance, and identifies potential or existing problem areas; and
- Contribute to the identification of the priorities/activities to be reviewed during the monitoring process.

## 2. Pre-Site Monitoring

Pre-site monitoring reviews of compliance with Title I of the NCLB are conducted prior to every scheduled on-site review. As part of the pre-site process, SEAs will collect the necessary documentation to respond to each indicator in the external monitoring guide. SASA staff will analyze relevant documents submitted by the SEA as part of the pre-site monitoring process to identify issues and questions *before* the visit, ensuring focused and productive interviews *during* the visit. A due date will be established for all documentation to be sent to SASA staff. SASA will strongly encourage an SEA to scan documents or copy them to a disk or a flash drive or post documents on its website. Assigned team members will review all documentation that is submitted to determine compliance with each indicator. When all documents have been analyzed, the team may schedule follow-up conference calls and/or teleconferences with SEA and/or LEA staff to complete its information gathering process and make compliance determinations. When a team member has collected information sufficient to determine that the SEA is in compliance with a specific indicator, that determination will be documented. As ED must receive all requested documentation from the SEA and appropriate LEAs, failure to provide information may lead to monitoring findings.

### **3. On-Site Monitoring**

During the site visit, SASA staff will review documentation and additional information based on the pre-site review, and will interview SEA and LEA staff, principals, teachers, parents, and other stakeholders, both individually and in groups, as appropriate. This multi-level interview strategy will allow the monitors to gather information from a variety of perspectives and better evaluate the impact of the State's administration on the implementation of the four programs at the LEA and school level. This strategy will allow the monitoring team to conduct a more thorough review of the indicators, include additional LEAs in the monitoring process, as appropriate, and acquire a more complete picture of the degree of program implementation across the State.

#### **B. Monitoring Team**

A team of four or more SASA staff members will be assigned to conduct pre-site and on-site reviews. Staff assigned to pre-site reviews may also participate in on-site reviews. The size of the team assigned to monitor will vary depending on the issues identified, and in larger States, two teams may be assigned to conduct on-site monitoring activities.

#### **C. Exit Conference**

The Exit Conference may be held at the conclusion of the on-site week for the purpose of reporting the preliminary results of the monitoring visit to staff from the SEA. Typically, the monitoring team meets with officials from the SEA to discuss potential findings and recommendations that the team will likely cite in the monitoring report. The team will summarize the week's activities, the potential findings and recommendations, and timelines for developing the monitoring report. The team also responds to questions posed by the SEA (both related to process and content). The team leader emphasizes that the information presented at the exit conference is preliminary, and explains that during the development of the monitoring report, the team will continue to review data and contact the SEA for additional information, as required. Further, the SEA will be informed of any issues that surface subsequent to the on-site week, particularly if the issues will potentially result in findings to be included in the monitoring report.

## **IV. MONITORING FEEDBACK AND FOLLOW-UP**

### **A. Monitoring Report**

The SASA monitoring team will provide a final monitoring report to the SEA within 35 business days of the on-site review. Each member of the monitoring team will draft individual sections, and the monitoring team leader will oversee the development of the report. This timeframe is inclusive of five business days for the SEA to review the draft report. An electronic draft will be sent to the person whom the Chief State School Officer has designated as the person to coordinate the SEA's review. ED will then have five days to finalize the report. The report will contain findings, recommendations, and required corrective actions for Title I, Part A; Even Start; N/D; and Homeless programs.

A copy of the report will be posted on the ED website once the final report has been sent to the State. ED will also post information about how States have resolved corrective actions after issuing a letter indicating that all monitoring findings have been addressed. The report will also be sent to the appropriate regional Comprehensive Center for possible follow-up and/or technical assistance.

### **B. SEA Response**

Upon receipt of the final report, the SEA has 30 business days to respond to any findings and required actions. In their response, SEAs should provide a projected timeline for the completion of all corrective actions. SEA responses are carefully reviewed to ensure that all compliance issues identified in the monitoring report have been addressed. If an SEA does not respond to the report within these established timelines, the SASA Director will send a letter to the State Superintendent. If the SEA still does not respond, the SASA director will send a recommendation to the Assistant Secretary for further action.

When the monitoring team determines that the SEA has taken steps to ensure full statewide compliance in the identified areas and provided documentation that the actions have been implemented, SASA's Director will notify the State. Please note that all actions proposed by the SEA and approved by ED resolve the issues of noncompliance identified during the monitoring review and cited in the monitoring report. The SEA may receive further communication from ED that will require the SEA to address noncompliance occurring prior or subsequent to the on-site visit.

### **C. Conditions**

States with significant compliance findings will have conditions attached to the grant award for the appropriate program. For example, a State with a finding in Title I, Part A would have an "Attachment T" related to its monitoring finding affixed to its Title I, Part A grant as a condition of the grant award. The Attachment T indicates that the grant award is subject to the appropriate resolution of corrective actions identified by ED in its monitoring visit. Conditions are normally attached only after the State has had the opportunity to respond to the monitoring report and outline its corrective action plans.

Resolution will be considered only after the State submits information or evidence of the implementation of the corrective actions it has taken and ED concludes that such actions appropriately address the findings. If appropriate corrective actions are not taken in a timely manner, ED may request additional information, revise the special condition to require further action, or provide notice of its intent to take further administrative action.

#### **D. Follow-Up**

If necessary, the monitoring team leader schedules a follow-up review to verify the implementation of required corrective actions and to provide technical assistance as necessary. The SEA will have 30 business days to respond to corrective actions unless there are extenuating circumstances. Further, ED expects that all issues identified during follow-up monitoring will be resolved within one year of the visit.

#### **E. Report Analysis**

The monitoring group maintains a database of all site-visit reports by monitoring cycle. From the database, SASA staff analyze the findings and recommendations from each report in order to obtain a more complete picture of implementation trends across all States. These analyses will inform efforts to provide national leadership activities and technical assistance to States on a regional and national level.

**Monitoring Indicators:  
Overarching Requirement - SEA Sub-recipient Monitoring**

<b>The SEA conducts monitoring of its subgrantees sufficient to ensure compliance with Title I program requirements. §9304; §80.40 of EDGAR]</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What process does the SEA use to monitor implementation of Title I, Part A; Title I, Part B, Subpart 3 (Even Start), Title I, Part D, and the McKinney Vento Act?</li> </ul> <p><u>For each program:</u></p> <ul style="list-style-type: none"> <li>➤ How frequently are these programs monitored?</li> <li>➤ What findings have been made in the most recent monitoring year?</li> <li>➤ How does the SEA ensure that findings are corrected?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ When was the last time you were monitored by the SEA?</li> <li>▪ What findings, if any, were made as a result of that monitoring visit?</li> <li>▪ Was there any follow-up by the SEA to ensure that findings were corrected/addressed?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Established cycle of monitoring.</li> <li>▪ Monitoring policies and procedures*</li> <li>▪ Data collection instruments (interview guides, documents review checklists)*</li> <li>▪ Sample of letters to LEAs, checklists, forms, etc.</li> <li>▪ Process for identification of ‘high risk’ grantees.</li> <li>▪ Process for follow-up/verification of implementation of required corrective actions.</li> <li>▪ Monitoring reports, corrective actions from the LEAs visited as part of the on-site review.</li> </ul> <p>*Must include a method for monitoring <u>all</u> critical NCLB requirements.</p> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff explains schedule of monitoring, including ‘off cycle’ monitoring.</li> <li>▪ Staff describes monitoring process, including on-site procedures, data review, reporting and methods(s) for ensuring corrective action.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Copies of reports, corrective actions, results of technical assistance.</li> <li>▪ Sample of letters to schools, checklists, forms, etc.</li> <li>▪ Evidence of technical assistance provided by the SEA as a result of issues identified through the monitoring process.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff describes monitoring process, including on-site procedures, data review, and the reporting and corrective action processes, as pertains to most recent monitoring by the SEA.</li> <li>▪ Staff discusses technical assistance provided by SEA during and as a result of monitoring process.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Overarching Requirement - SEA Sub-recipient Monitoring**

<p><b>The SEA conducts monitoring of its subgrantees sufficient to ensure compliance with Title I program requirements.</b> §9304; §80.40 of EDGAR]</p>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff discusses technical assistance to subgrantees regarding program requirements.</li> <li>▪ Staff describes how data collected through the monitoring process informs other SEA activities (technical assistance, etc.)</li> <li>▪ Staff describes procedures (criteria) for identification of high-risk LEAs/grantees.</li> <li>▪ SEA cites examples of prior identification of high-risk grantees and describes the consequences of such identification.</li> </ul>	

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.1: SEA has approved system of academic content standards, academic achievement standards and assessments (including alternate assessments) for all required subjects and grades, or has an approved timeline for developing them. §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><b><u>I. Standards and Assessment Requirements</u></b></p> <ul style="list-style-type: none"> <li>▪ Has the State formally approved/adopted challenging academic <u>content standards</u> in reading/language arts, mathematics, and science? AND</li> <li>▪ Are these academic content standards applied to <i>all</i> public schools and students in the State?</li> <li>▪ Are content standards being revised? If so, what is the timeline for completion?</li> <li>▪ Has the State received ED approval for challenging academic <u>achievement standards</u> in reading/language arts and mathematics for each of grades 3 through 8 and for the 10-12 grade range?</li> <li>▪ Has the State received ED approval for academic achievement descriptors in science for each of the grade spans 3-5, 6-9, and 10-12, OR approval for a science assessment aligned with State content standards in all required grade levels?</li> <li>▪ Has the State received ED approval for alternate assessments based on alternate achievement standards and/or modified achievement standards in reading/language arts and mathematics for all grades and subjects tested? (If alternate/modified achievement standards have not been developed and approved, then all assessments for students with disabilities must be based on grade-level achievement standards.)</li> <li>▪ Are any State-wide assessments used for Adequate Yearly Progress (AYP) being revised/replaced? If so, what is the timeline?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Letter from ED approving the State system of standards and assessments in reading, mathematics and science for the required grades, or letter approving a timeline for completion, or State-level documentation indicating content standards were approved/adopted.</li> <li>▪ Documents that include or are based on the academic content standards explicitly address the needs of students with disabilities and limited English proficient students.</li> <li>▪ Revision schedule for content standards, achievement standards, or assessments, if appropriate.</li> <li>▪ ED approval of achievement descriptors in science that differentiate the knowledge and skills associated with each performance level, by grade.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Discuss timeline for any pending changes in standards and/or assessment with current schedule for completion.</li> </ul>	<p><u>N/A</u></p>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

**1.1: SEA has approved system of academic content standards, academic achievement standards and assessments (including alternate assessments) for all required subjects and grades, or has an approved timeline for developing them. §1111**

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b><u>II. Inclusion Requirements</u></b></p> <ul style="list-style-type: none"> <li>▪ What guidelines does the State have in place for including all students with disabilities in the regular assessment system?</li> <li>▪ If the State has approved/adopted alternate achievement standards, what guidelines does the State have in place for assessing only students with the most significant cognitive disabilities based on alternate achievement standards?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ The State’s guidelines, as communicated to LEAs, for the inclusion of all students with disabilities in the assessment system.</li> <li>▪ Existing written documentation describing the form and content of alternate assessments for students with disabilities, the process by which these assessments were developed, and the process by which the State has ascertained the alignment of these assessments with its academic content standards and academic achievement standards—both grade level and alternate, as applicable.</li> <li>▪ Report that shows 100% of students with disabilities are taking the regular assessment or an alternate assessment.</li> <li>▪ State curriculum and/or test administration guides that inform educators about the inclusion of students with disabilities in regular assessments, with or without accommodations, or alternate assessments based on grade-level standards, or, if the State allows it, alternate assessments based on alternate achievement standards.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA reports show that 100% of students with disabilities are taking the regular assessment or an alternate assessment.</li> <li>▪ LEA curriculum and/or test administration guides that inform educators about the inclusion of students with disabilities in regular assessments, with or without accommodations, or alternate assessments based on grade-level standards, or, if the State allows it, alternate assessments based on alternate achievement standards.</li> <li>▪ Documentation on the number of special education children taking the various alternate assessments compared to the previous year’s test takers.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ If the LEA exceeds the 1% cap on the percentage of students proficient for AYP purposes on alternate assessments aligned with alternate achievement standards, discuss the basis for exceeding the 1% cap. Was the exception approved by the State?</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

**1.1: SEA has approved system of academic content standards, academic achievement standards and assessments (including alternate assessments) for all required subjects and grades, or has an approved timeline for developing them. §1111**

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b><u>II. Inclusion Requirements (Cont.)</u></b></p> <ul style="list-style-type: none"> <li>▪ What guidelines does the State have in place for including all students with limited English proficiency (LEP) in the tested grades in the assessment system?<sup>2</sup></li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ The State’s guidelines, as communicated to LEAs, calls for the inclusion of all limited English proficient students in its assessment system.</li> <li>▪ Existing written documentation describing the form and content of any alternate assessments for limited English proficient students, the process by which these assessments were developed, and the process by which the State has ascertained the alignment of these assessments with its academic content standards and academic achievement standards and comparability of results with the regular test.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Does State have appropriate accommodations for LEP students?</li> <li>▪ Discuss the State’s definition of LEP.</li> <li>▪ Discuss the State’s criteria for student exit from the LEP accountability subgroup. Is this consistent with the Accountability Workbook?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA can document the participation of LEP students on tests of English language proficiency for the district and by school.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Does the LEA know the State’s definition of LEP and the State’s LEP exit criteria, and are they applying appropriate accommodations for LEP students?</li> <li>▪ What actions does the LEA take to ensure that LEP accommodations are being applied on test day?</li> </ul>

<sup>2</sup> Letter from Secretary Rod Paige dated February 20, 2004 permits flexibility in assessing new limited English proficient students and in calculating AYP. For assessments administered during the 2003-04 school year, including those given during the fall 2002, the Secretary has permitted States to exempt recently arrived LEP students (i.e., those students in their first year of enrollment in U. S. schools) from taking the State’s reading/language arts assessment.

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

**1.1: SEA has approved system of academic content standards, academic achievement standards and assessments (including alternate assessments) for all required subjects and grades, or has an approved timeline for developing them. § 1111**

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b><u>III. Data quality requirements</u></b></p> <ul style="list-style-type: none"> <li>▪ Has the State established clear criteria for the administration, scoring, analysis, and reporting components of its assessment system, including alternate assessment(s)?</li>   <li>▪ Does the State have a system for monitoring and improving the on-going quality of its assessment system?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ The State’s criteria for administration, scoring, analysis, and reporting are communicated to its contractor(s).</li>   <li>▪ The State’s test security policy and consequences for violation are communicated to the public and to local educators.</li>   <li>▪ Existing written documentation of the State’s plan for training and monitoring assessment administration conditions across the State, even when its assessment system is comprised of only local assessments.</li>   <li>▪ The State data management system includes data definitions that are disseminated to LEAs and procedures to maintain accurate student demographic data.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Discuss how the State monitors test administrations taking place in the LEAs.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA has written procedures for ensuring data quality.</li>   <li>▪ LEA provides evidence indicating that written procedures for ensuring data quality were communicated to the LEA by the State and implemented.</li>   <li>▪ Documentation provided on how any data quality issues related to assessment has been addressed, including security breaches.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Discuss how the State monitors test administrations taking place in the LEA and how the LEA monitors test administration in the schools.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

**1.2: The SEA has implemented all required components as identified in its accountability workbook. §1111**

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Does the State have an NCLB accountability system plan that has been approved by ED?</li> <li>▪ How are all public schools and LEAs held to the same criteria when making an AYP determination?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ The State has an approval letter for its accountability system plan and an updated accountability workbook that reflects the areas approved in the letter.</li> <li>▪ All public schools (e.g., public charter schools, alternative schools) and LEAs are systematically judged on the basis of the same criteria when making an AYP determination.</li> <li>▪ The State has a definition of a “new” school with appropriate description of accountability rules that are consistently applied throughout the State.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Discuss any special procedures that are being used to make accountability decisions about small schools. Alternative high schools.</li> <li>▪ SEA explains how the AYP definition is integrated into the State Accountability System, if applicable.</li> </ul>	<p><u>N/A</u></p>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.2: The SEA has implemented all required components as identified in its accountability workbook. §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Does the State provide accountability and adequate yearly progress decisions and information in a timely manner?</li> <li>▪ Does the State allow enough time to notify parents about public school choice or supplemental educational services options, time for parents to make informed decisions, and time to implement public school choice and supplemental educational services?</li> <li>▪ How does the State Accountability System include all students in the State?</li> <li>▪ How does the State define “full academic year” for identifying students in AYP decisions?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ The most recent AYP reports show that the State provides decisions about adequate yearly progress in time for LEAs to implement the required provisions before the beginning of the next academic year.</li> <li>▪ The definitions of “public school” and “LEA” account for all students enrolled in the public school district, regardless of program or type of public school, e.g. State school for the blind.</li> <li>▪ The State definition of “full academic year” for determining which students are to be included in decisions about AYP is consistently applied in the same manner as stated in the Accountability Workbook.</li> <li>▪ The State documents a data management capability that results in accurate records of attendance for all students, including mobile students.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA documents show that parental notification was provided in time to permit informed decisions regarding choice and supplemental educational services.</li> <li>▪ The LEA correctly explains the definition of full academic year and can demonstrate that students are coded correctly for AYP calculations.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.2: The SEA has implemented all required components as identified in its accountability workbook. §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ How does the State Accountability System determine which students have attended the same public school and/or LEA for a full academic year?</li> <li>▪ How does the State Accountability System make an annual determination of whether each public school and LEA in the State made AYP?</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ State explains how it holds public schools accountable for students who were enrolled at the same public school for a full academic year.</li> <li>▪ State explains how it holds LEAs accountable for students who transfer during the full academic year from one public school within the district to another public school within the district.</li> </ul> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ AYP decisions for each public school and LEA are made annually, or the State has clearly stated procedures for aggregating data across multiple years.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The procedures employed in the most recent AYP calculations are consistent with the description in the approved Accountability Workbook.</li> </ul>	

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.2: The SEA has implemented all required components as identified in its accountability workbook. §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How are students with disabilities included in the State’s definition of adequate yearly progress?</li>   <li>▪ How are students with limited English proficiency included in the State’s definition of adequate yearly progress?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ All students with disabilities participate in statewide assessments: general assessments with or without accommodations or an alternate assessment based on grade level standards for the grade in which students are enrolled or are counted as non-participants in AYP calculations.</li>   <li>▪ State demonstrates that students with disabilities are fully included in the State Accountability System.</li>   <li>▪ State describes how “excess” proficient scores from an assessment based on alternate achievement standards are handled for AYP when the number of proficient scores exceeds 1%.</li>   <li>▪ State provides data showing that all LEP students participate in statewide assessments: general assessments with or without accommodations, LEP alternate assessments, or a native language version of the general assessment based on grade level standards.</li>   <li>▪ State provides to all LEAs guidance on the assessment of new immigrant LEP students that is consistent with NCLB.</li> </ul>	

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.2: The SEA has implemented all required components as identified in its accountability workbook. §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How are students with limited English proficiency included in the State’s definition of adequate yearly progress?</li> <li>▪ What is the State’s definition of the public high school graduation rate?</li> <li>▪ Has the State established a standard for acceptable reliability of AYP school/LEA classifications?</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ State demonstrates that LEP students are fully included in the State Accountability System in the same manner as described in its approved Accountability Workbook.</li> </ul> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ The State definition of graduation rate is clearly stated in the approved Accountability Workbook. It:               <ul style="list-style-type: none"> <li>➢ Calculates the percentage of students, measured from the beginning of the school year, who graduate from public high school with a regular diploma (not including a GED or any other diploma not fully aligned with the State’s academic standards) in the standard number of years; or,</li> <li>➢ Uses another more accurate definition that has been approved by the Secretary; and</li> <li>➢ Does not count a dropout as a transfer.</li> </ul> </li> <li>▪ State has defined a method for determining an acceptable level of reliability (decision consistency) for AYP decisions.</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff explains how LEP students are included in AYP calculations.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.2: The SEA has implemented all required components as identified in its accountability workbook. §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Do the most recent AYP determinations meet the State’s standard for acceptable reliability?</li>   <li>▪ What is the State's process for determining the validity of AYP determinations?</li>   <li>▪ Does the State have a documented procedure for districts and schools to appeal AYP data and decisions?</li>   <li>▪ How has the State planned to incorporate anticipated changes in assessments into its definition of AYP?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ State provides evidence that decision consistency is (1) within the range deemed acceptable to the State, and (2) meets professional standards.</li>   <li>▪ State publicly reports the estimate of decision consistency, and incorporates it appropriately into accountability decisions.</li>   <li>▪ State updates analysis and reporting of decision consistency at appropriate intervals.</li>   <li>▪ The State has a plan for validating AYP determinations, has allocated resources to address this need, and is collecting data to document valid AYP decisions.</li>   <li>▪ Description of the appeals process and timelines with a record of the previous year’s results.</li>   <li>▪ State has published its plan to maintain continuity in AYP decisions necessary for validity through planned assessment changes, and other changes necessary to comply fully with NCLB.</li>   <li>▪ State has a plan for periodically reviewing its State Accountability System, so that unforeseen changes can be quickly addressed.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The LEA has a procedure for reviewing preliminary AYP results and communicating corrections to the State.</li>   <li>▪ Staff can discuss how the State plans to incorporate anticipated changes in assessments into its definition of AYP.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.2: The SEA has implemented all required components as identified in its accountability workbook. §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What is the State's method for calculating participation rates in the State assessments for use in AYP determinations?</li> <li>▪ Does the State's participation data indicate that all students in the tested grade ranges are included in the assessment system (e.g., students with disabilities, students with limited English proficiency, economically disadvantaged students, race/ethnicity, and migrant)?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ The State's procedure to determine the denominator (total enrollment) for the 95% calculation (by subgroup and aggregate) is described in detail in the approved Accountability Workbook.</li> <li>▪ Reports that specify the participation rates and the method of calculation for all students and for each subgroup in the assessment system.</li> <li>▪ State has a procedure to determine the number of absent or untested students (by subgroup and in the aggregate).</li> <li>▪ Public schools and LEAs are held accountable for reaching the 95% assessed goal.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA provides copies of guidance, memoranda, test administration manuals, etc., that document direction provided by the State for including required student subgroups in assessment administrations.</li> <li>▪ LEA has documentation of information and/or guidance provided to schools regarding participation rates.</li> <li>▪ LEA documents the participation of students by the required subgroups taking the required assessments for the district and by school (95% participation).</li> <li>▪ LEA provides enrollment data against assessment participation for each required subgroup.</li> <li>▪ LEA can document any exemptions from assessment that have been permitted for students by the required subgroups for the district and by school.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.2: The SEA has implemented all required components as identified in its accountability workbook. §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Does the SEA have a system for ensuring and maximizing the quality, objectivity, utility, and integrity of information disseminated by the agency?</li> <li>▪ If the State is participating in a pilot program approved by ED, such as use of growth data for AYP, does the State have an appropriate evaluation plan?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ SEA has distributed written procedures for ensuring data quality.</li> <li>▪ Documents, such as annual quality control reports, indicating that written procedures for ensuring data quality were implemented.</li> <li>▪ Evidence that LEAs have been provided technical assistance on data quality issues.</li> <li>▪ State evaluation plan for pilot has been reviewed and approved by ED.</li> <li>▪ State has committed appropriate resources and for collecting appropriate data for adequately implement all workbook provisions.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA information on assessment and accountability reported to ED is accurate.</li> <li>▪ LEA provides evidence indicating that written procedures for ensuring data quality were communicated to the LEA, by the State and implemented.</li> <li>▪ Documentation provided on how any data quality issues related to school and district accountability has been addressed.</li> <li>▪ If the State is participating in a pilot program approved by ED, such as use of growth data for AYP, does the State have an appropriate evaluation plan?</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.2: The SEA has implemented all required components as identified in its accountability workbook §1111(b)(2)</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Does the Annual State Report Card contain all of the following information?               <ol style="list-style-type: none"> <li>1) Information in the aggregate, on student achievement at each proficiency level on the State academic assessments disaggregated by race, ethnicity, gender, disability status, and migrant status, English proficiency and status as economically disadvantaged (where the minimum “n” has been met);</li> <li>2) comparison of the actual achievement levels of each group of students previously described to the State’s annual measurable objectives for each required assessment;</li> <li>3) the percentage of students not tested, disaggregated by the same categories noted above by subject;</li> <li>4) the most recent two-year trend in student achievement in each subject at each grade-level, for grades in which assessment is required;</li> <li>5) aggregate information on any other indicator used by the State to determine AYP;</li> <li>6) graduation rates that are consistent with ED approved State definitions;</li> <li>7) information on LEAs regarding whether they made AYP, including the number and names of schools identified for school improvement; and</li> <li>8) the professional qualifications of teachers in the State, including percentage of such teachers teaching with emergency or provisional credentials, and the percentage of classes not taught by highly qualified teachers, in the aggregate and disaggregated by high-poverty and to low- poverty schools.</li> </ol> </li> </ul>	<ul style="list-style-type: none"> <li>▪ N/A</li> </ul>	

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.3: The SEA has published an annual report card as required and an Annual Report to the Secretary. §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Does the SEA have procedures to monitor annual Local Educational Agency (LEA) Report Cards to ensure that information in the reports cards is based on statistically valid and reliable data?</li>   <li>▪ Does the Annual State Report to the Secretary contain all of the required information?               <ol style="list-style-type: none"> <li>1) the State’s progress in developing and implementing academic assessments as described in subsection (b)(3),</li> <li>2) the achievement of students on the academic assessments required under (b)(3), including the disaggregated results for the categories of students required in subsection (b)(2)(C)(v),</li> <li>3) the acquisition of English proficiency by LEP students,</li> <li>4) the number and names of all schools identified for school improvement under 1116(c), the reason why each school was identified, and the measures taken to address the achievement problems of such schools,</li> <li>5) the number of students and schools that participated in public school choice and supplemental, educational service programs and activities under this title, and</li> <li>6) information on the quality of teachers and the percentage of classes being taught by highly qualified teachers in the State, LEAs and schools.</li> </ol> </li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ State conducts audit check of LEA data and has procedures to resolve errors.</li> <li>▪ Most recent State Consolidated Report. Check for completeness.</li>   <li>▪ Data in the State Consolidated Report matches Report Card data for the same year.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA provides evidence indicating that written procedures for ensuring data quality were communicated to the LEA, by the State and implemented.</li>   <li>▪ Documentation provided on how any data quality issues related to school and district accountability have been addressed.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.4: The SEA has ensured that LEAs have published Annual Report Cards as required §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ Do the annual LEA Report Cards contain all of the required information for the LEA and each school served, as follows?               <ol style="list-style-type: none"> <li>1) information, in the aggregate, on student achievement at each proficiency level on the State academic assessments disaggregated by race, ethnicity, gender, disability, migrant, English proficiency, and economically disadvantaged (where the minimum “n” has been met);</li> <li>2) comparison of the actual achievement levels of each group of students previously described in the State’s annual measurable objectives for each required assessment;</li> <li>3) information on how students served by the LEA achieved on the statewide academic achievement assessment compared to students in the State as a whole;</li> <li>4) the percentage of students not tested, disaggregated by the same categories noted above by subject;</li> <li>5) the most recent two-year trend in student achievement in each subject at each grade level, for grades in which assessment is required;</li> <li>6) aggregate information on any other academic indicator used by the State to determine AYP and on any additional indicators used by the LEA to determine AYP;</li> <li>7) graduation rates that are consistent with ED-approved State definitions;</li> </ol> </li> </ul>	N/A	<p><u>LEA</u></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ District Report Card samples or prototype with complete set of school report cards for that LEA.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.4: The SEA has ensured that LEAs have published Annual Report Cards as required §1111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p>8) information on the performance of the LEA regarding whether it made AYP and whether it has been identified for improvement, including the number and percent of schools identified for school improvement by name and how long the schools have been so identified; and</p> <p>9) the professional qualifications of teachers in the LEA, including the percentage of such teachers teaching with emergency or provisional credentials, and the percentage of classes not taught by highly qualified teachers, in the aggregate and disaggregated by high-poverty compared to low-poverty schools.</p> <ul style="list-style-type: none"> <li>▪ Within each LEA, do individual school reports include the following?               <ol style="list-style-type: none"> <li>1) Whether the school has been identified for school improvement; and</li> <li>2) Information that shows how the school's student's achievement on the statewide academic assessments and other indicators of AYP compared to students in the LEA and the State.</li> </ol> </li> <li>▪ Has the LEA publicly disseminated the information contained in the Annual LEA Report Cards to all schools in the LEA and to all parents of children attending the LEA's schools in a form and, to the extent practicable in a language that parents can understand?</li> <li>▪ Has the LEA provided to the parent/guardian of each child attending any school information on the level of achievement of the child in each of the State academic assessments?</li> </ul>		<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Individual School Reports as published on the web or distributed to parents in print form.</li> <li>▪ District Report Card samples; dissemination plan and timeline.</li> <li>▪ Student Assessment Report samples; dissemination plan and timeline.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

<b>1.5: The SEA indicates how funds received under Grants for State Assessments and related activities will be or have been used to meet the 2005-06 and 2007-08 assessment requirements of NCLB. § 6111</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Has the State indicated how 6111 funds will be used to meet the SY 05-06 and 07-08 assessment requirements of NCLB?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ State documents what part of 6111 funds is being spent on assessment development and what part is being spent on 6111 part B areas.</li> </ul>	<p>N/A</p>

**Monitoring Indicators for Title I, Part A  
Standards, Assessment and Accountability**

**1.6: SEA ensures that LEAs meet all requirements for identifying and assessing the English language proficiency of limited English proficient students. §1111**

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Does the State conduct an annual language survey that identifies the following?               <ol style="list-style-type: none"> <li>1) Languages other than English present in student population; and</li> <li>2) Languages for which yearly academic assessments are needed.</li> </ol> </li>   <li>▪ Does the SEA plan to select/develop English language proficiency (ELP) test(s) of oral language, reading and writing? (If multiple tests are permitted, the State will determine comparability sufficient to aggregate results at the State level.)</li>   <li>▪ Are ELP tests administered annually in grades K-12 by LEAs to all students with limited English proficiency in the schools served by the State?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Summary of home language survey results, OELA report, or relevant consolidated application data that shows the number of languages present and relative incidence.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ State has established and disseminated an operational definition of English proficiency consistent with the test(s) adopted. State has developed a strategy to determine comparability and aggregate results across different tests if multiple tests are adopted.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA applies an ELP assessment that is approved by the SEA to all LEP students as required by statute.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.1: The SEA has developed procedures to ensure the hiring and retention of qualified paraprofessionals. §1119; 34 CFR Part 200 §200.58-200.59]</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>How did the SEA determine that all Title I instructional paraprofessionals met the qualification requirements in NCLB by the end of the 2005-2006 school year?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>Do all Title I instructional paraprofessionals meet the qualification requirements in NCLB?</li> <li>How do you ensure that Title I instructional paraprofessionals work under the direct supervision of a highly qualified teacher? What direction has been given to principals and teachers regarding this requirement?</li> </ul> <p><u>School</u></p> <ul style="list-style-type: none"> <li>How do you ensure that Title I paraprofessionals in your school perform their work under the direct supervision of a highly qualified teacher?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>Evidence that all Title I instructional paraprofessionals met the hiring requirements in NCLB no later than the end of the 2005-2006 school year.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>SEA staff describe the guidance it provided to LEAs regarding the process of qualifying all paraprofessionals by the end of the 2005-06 school year.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>Evidence that Title I instructional paraprofessionals meet NCLB hiring requirements.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>LEA staff describes the process it followed to ensure that all paraprofessionals met the hiring requirements by the end of the 2005-06 school year.</li> <li>LEA staff describes how it ensures that Title I instructional paraprofessionals work under the direct supervision of a highly qualified teacher.</li> <li>LEA staff describes (where applicable) any duties performed by paraprofessionals that are beyond their instructional duties, and performed by similarly situated personnel on a limited basis.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.2: The SEA has established a statewide system of support that provides, or provides for, technical assistance to LEAs and schools as required. §1117; 34 CFR §200.40]</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Does the have a system of “intensive and sustained improvement and support” (as identified in section 1117) to assist LEAs and schools? Describe the statewide system of support and how it includes at a minimum the following approaches:               <ul style="list-style-type: none"> <li>➤ School support teams;</li> <li>➤ Cadres of distinguished educators and principals; and</li> <li>➤ Other approaches, such as higher education, education service agencies, and other private providers.</li> </ul> </li> <li>▪ How does the State identify and prioritize LEAs and schools to receive services?</li> <li>▪ How does the State monitor and/or evaluate the services provided through the statewide system of support to determine if they are effective in meeting the needs of schools and students?</li> <li>▪ What professional development activities are provided to school support team members?</li> <li>▪ What criteria are used to identify distinguished schools and educators?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA has developed a statewide system of support and improvement for all LEAs and schools that:               <ul style="list-style-type: none"> <li>➤ Adheres to statutory priorities, and</li> <li>➤ Works with regional technical assistance centers as appropriate.</li> </ul> </li> <li>▪ Evidence that the statewide system of support and improvement includes the following approaches:               <ul style="list-style-type: none"> <li>➤ Effective school support teams that are knowledgeable about scientifically based research and practices; and</li> <li>➤ Distinguished teachers and principals from successful schools.</li> </ul> </li> <li>▪ Evidence that the school support teams provide support to the school’s instructional program and develop recommendations for improving student achievement.</li> <li>▪ Evidence that the SEA has established an academic achievement awards program.</li> <li>▪ Evidence that the SEA identifies and rewards distinguished schools.</li> <li>▪ Evidence that the SEA has assisted LEAs to align their curriculum with State academic achievement standards.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that representatives of the statewide system of support have provided technical assistance to schools in corrective action, and other schools in need of improvement.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.2: The SEA has established a statewide system of support that provides, or provides for, technical assistance to LEAs and schools as required. § 1117; 34 CFR §200.40]</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How are schools and districts identified to receive services from the SEA’s system of support?</li> <li>▪ Do staff from distinguished schools provide assistance to schools in improvement, and, if so, what assistance do they provide?</li> <li>▪ What services do as the SEA receive from regional comprehensive centers or other technical assistance providers?</li> <li>▪ How do the school support teams provide assistance in analyzing data and assisting LEAs to use this information and data to improve student achievement?</li> <li>▪ Have instructional outcomes for schools been evaluated to determine if the efforts of the statewide system of support were effective?</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA explains how it has created and implemented a statewide system of support and improvement for LEAs and schools in need of improvement, corrective action or restructuring.</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff describe the impact of the SEA system of support and improvement and how it supports district technical assistance and support efforts.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.2: The SEA has established a statewide system of support that provides, or provides for, technical assistance to LEAs and schools as required. §11117; 34 CFR §200.40</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>LEA and Schools</u></p> <ul style="list-style-type: none"> <li>▪ What support has the LEA and schools received from the SEA in areas such as curriculum alignment, instructional improvement, parental involvement, etc.?</li>   <li>▪ Have the services of the statewide system of support been evaluated to determine if they are effective? What has been learned from that evaluation?</li> </ul>		

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.3: The SEA ensures that LEAs and schools meet parental involvement requirements. §§ 1111-1112; and §§1114 -1118</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What assistance or guidance do you provide to LEAs and schools regarding parental involvement, development of LEA and school parental involvement policies, and school-parent compacts?</li> <li>▪ What guidance and technical assistance have you provided and how do you ensure that LEAs and schools meet the notification requirements of:               <ul style="list-style-type: none"> <li>➢ AYP status,</li> <li>➢ LEA and school improvement status,</li> <li>➢ Teacher and paraprofessional qualifications,</li> <li>➢ Public school choice, and</li> <li>➢ Supplemental educational services.</li> </ul> </li> <li>▪ How and when do you notify parents and the public that an LEA and/or school is identified for improvement, corrective action or restructuring?</li> <li>▪ How do you ensure parental participation in the development of school improvement plans and the use of parental involvement set-aside funds?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence of SEA guidance to LEAs on parental notice and parental involvement requirements.</li> <li>▪ Documentation that the SEA has reviewed the effectiveness of LEA parental involvement activities.</li> <li>▪ Evidence that the SEA has reviewed the LEA’s parental notification letters for the completeness of information required for school improvement status, school choice, and SES.</li> <li>▪ Evidence that the SEA has provided guidance to LEAs regarding “parent right to know” requirements.</li> <li>▪ Evidence that the SEA has encouraged LEAs and schools to use Title I funds to offer family literacy services if the LEA determines that a substantial number of students have parents with low levels of literacy and without a secondary school diploma or its recognized equivalent.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA parental notification letters about:               <ul style="list-style-type: none"> <li>➢ School improvement status,</li> <li>➢ Public school choice,</li> <li>➢ Supplemental educational services,</li> <li>➢ Teacher and paraprofessional qualifications,</li> <li>➢ The assignment of a child to a teacher who does not meet the highly qualified requirements for four or more consecutive weeks.</li> </ul> </li> <li>▪ Evidence that the LEA and school parental involvement policies are distributed to parents.</li> <li>▪ Copies of LEA and school written parental involvement policies and evidence that each is updated periodically.</li> <li>▪ Copies of school-parent compacts.</li> <li>▪ Evidence that schools hold an annual meeting to inform participating parents about Title I programs.</li> <li>▪ Evidence that the LEA and schools review the effectiveness of school parental involvement activities.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.3: The SEA ensures that LEAs and schools meet parental involvement requirements. §§ 1111-1112; and §§ 1114 -1118</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How do you monitor the content of parent notification letters/PSAs, etc. to ensure that these notices include all of the required information?</li> <li>▪ How do you monitor and evaluate the effectiveness of parental involvement activities?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ How have you encouraged schools to use Title I, Part A funds to support family literacy programs?</li> <li>▪ What kind of parental involvement activities do you conduct at the district level?</li> <li>▪ Do you have a district parental involvement policy that is available to parents of participating Title I students?</li> <li>▪ What guidance have you provided to schools about the requirements for parental involvement under NCLB?</li> <li>▪ How do you ensure that all of your Title I schools have written parental involvement policies and parent-school compacts?</li> <li>▪ How do you monitor the effectiveness of parental involvement activities at the school level?</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff discusses findings of review of LEA parental notification letters and parental involvement actions and activities.</li> <li>▪ SEA staff discusses its guidance to LEAs regarding parental notices and parental involvement requirements and how it monitors the LEA implementation of these requirements.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that LEA and schools have carried out the six requirements to build parents' capacity to be involved in school.</li> <li>▪ Evidence that the LEA and schools have informed parents about the existence of a parent resource center, where applicable.</li> <li>▪ Evidence that LEAs communicate with parents in multiple languages, in writing and orally, as appropriate.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff describe SEA guidance and any SEA procedures and/or policies on parental notifications and parent involvement requirements.</li> <li>▪ LEA staff describe SEA technical assistance, programs, activities, and training that:               <ul style="list-style-type: none"> <li>➢ Build LEA and school capacity to increase parental involvement.</li> <li>➢ Build parents' capacity to be involved in school.</li> </ul> </li> <li>▪ LEA staff explains the process of developing/revising parental involvement policies, including the timeline and method used.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.3: The SEA ensures that LEAs and schools meet parental involvement requirements. §§ 1111-1112; and §§ 1114 -1118</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>LEA</u> (continued)</p> <ul style="list-style-type: none"> <li>▪ How have you informed parents about the Title I program, and how have they been involved in program planning.</li>   <li>▪ How has the 1% set-aside for parental involvement been used, and what was the extent of parental involvement in those decisions?</li>   <li>▪ When and how were parents notified of:               <ul style="list-style-type: none"> <li>➤ The school’s improvement status,</li> <li>➤ Teacher and paraprofessional qualifications,</li> <li>➤ Public school choice, and</li> <li>➤ Supplemental educational services.</li> </ul> </li> </ul>		<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA discusses how it reviews schools’ parental involvement policies and school-parent compacts for content consistent with statutory requirements.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.3: The SEA ensures that LEAs and schools meet parental involvement requirements. §§ 1111-1112; and §§ 1114 -1118</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>School</u></p> <ul style="list-style-type: none"> <li>▪ What assistance has the district provided to help school staff improve levels of parental involvement?</li> <li>▪ How have you informed parents about the Title I program and involved them in program planning?</li> <li>▪ Do you have a written parental involvement policy? Please describe the policy in terms of opportunities for parental involvement and participation. Does the policy contain the six requirements to build capacity?</li> <li>▪ Do you have school-parent compacts in place? Please describe what these compacts are intended to accomplish?</li> <li>▪ When do you hold the annual parent meeting and what is discussed at the meeting?</li> <li>▪ How do you annually evaluate your parental involvement activities and how are parents involved in this evaluation?</li> <li>▪ How are parents involved in decisions about how the school uses its portion of the 1% parental involvement set-aside?</li> </ul>		

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.4: The SEA ensures that LEA and schools identified for improvement, corrective action, or restructuring have met the requirements of being so identified. §1116; 34 CFR Part 200, §§200.36-200.43</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ When are data made available to LEAs and schools regarding their AYP status?</li> <li>▪ What do you do to ensure that LEAs and schools receive their achievement data in time to review these data before AYP determinations are made?</li> <li>▪ What guidance have you provided to LEAs regarding school improvement funds?</li> <li>▪ What policy guidance do you provide to LEAs with schools in improvement, corrective action, or restructuring?</li> <li>▪ What guidance or technical assistance do you provide to LEAs and schools regarding the development of school improvement plans?</li> <li>▪ How do you monitor the writing, revision, and implementation of school improvement plans, including required timelines?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence of written guidance to LEAs and schools on requirements for schools identified for improvement, corrective action, or restructuring and LEAs in improvement or corrective action.</li> <li>▪ Evidence of written guidance to LEAs and schools on the required components of an LEA or school improvement plan.</li> <li>▪ Evidence that the SEA ensures that LEAs provide, or provide for, technical assistance for schools identified for improvement, corrective action, or restructuring.</li> <li>▪ Evidence that the SEA provides technical assistance, if requested, for schools identified for improvement, corrective action or restructuring, including developing or revising improvement plans.</li> <li>▪ Evidence that the SEA provides technical assistance to LEAs identified for improvement or corrective action.</li> <li>▪ Evidence that the SEA takes appropriate action if an LEA does not carry out its responsibilities regarding schools identified for improvement.</li> <li>▪ Evidence that the SEA monitors LEA implementation of requirements for school improvement, corrective action, or restructuring.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the LEA applies required interventions for schools identified for improvement, corrective action, or restructuring.</li> <li>▪ Evidence that the LEA has provided, or provided for, technical assistance grounded in scientifically based research to schools in improvement, corrective action, or restructuring.</li> <li>▪ Evidence that the LEA provides identified schools with guidance in developing or revising school improvement plans as required.</li> <li>▪ Evidence that the LEA has a process for peer reviews of school improvement plans, as required.</li> <li>▪ Evidence that the LEA monitors the implementation of school improvement plans.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff demonstrate thorough understanding of requirements for school identified for improvement, corrective action, or restructuring, and/or LEAs identified for improvement or corrective action.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.4: The SEA ensures that LEA and schools identified for improvement, corrective action, or restructuring have met the requirements of being so identified. §1116; 34 CFR Part 200, §§200.36-200.43</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What support do you provide to schools in improvement on developing or revising school improvement plans?</li> <li>▪ What process is used to review and/or amend school improvement plans?</li> <li>▪ What professional development is provided to schools in improvement, corrective action, or restructuring?</li> <li>▪ How do you monitor the expenditure of professional development and school improvement funds at the school level?</li> <li>▪ What assistance do you provide to schools in improvement?</li> </ul> <p><u>Schools</u></p> <ul style="list-style-type: none"> <li>▪ How was staff involved in planning professional development activities to address the reasons why the school was identified for improvement?</li> <li>▪ How was staff involved in writing or revising your school’s improvement plan?</li> <li>▪ How and when was your staff notified that your school was identified for improvement?</li> </ul>	<p><u>Documentation (continued)</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA annually reviews the progress of each LEA to determine that the LEA is carrying out its responsibilities under sections 1117 (school support and recognition), 1118 (parent involvement), and 1119 (qualifications for teachers and paraprofessionals).</li> <li>▪ Evidence that the SEA provides technical assistance to LEAs identified for improvement or corrective action, as required.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff discuss their processes for supporting schools in improvement, corrective action, or restructuring, and for ensuring that LEAs fulfill their responsibilities in these areas.</li> <li>▪ SEA staff discuss support for LEAs identified for improvement, or corrective action, and their means of guiding and monitoring LEAs during these processes.</li> <li>▪ SEA staff discuss the process for monitoring the implementation of LEA and school improvement plans.</li> </ul>	<p><u>Documentation (continued)</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff articulate how they support schools with developing and implementing school improvement plans.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff explain the progress review process used with schools identified for improvement, corrective action, or restructuring.</li> <li>▪ LEA staff describe the relationship of the school improvement plan to instructional activities carried out in the school.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

**2.4: The SEA ensures that LEA and schools identified for improvement, corrective action, or restructuring have met the requirements of being so identified. §1116; 34 CFR Part 200, §§200.36-200.43**

<b>Guiding Questions</b>		
<u>Schools</u> <ul style="list-style-type: none"> <li>▪ What technical assistance or guidance have you received from the State and/or LEA relative to the needs improvement status of the school?</li> </ul>		

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.5: The SEA ensures that requirements for public school choice are met. §1112 and §1116; 34 CFR Part 200, §200.44</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What guidance have you provided to LEAs regarding public school choice?</li> <li>▪ How do you monitor the LEAs' implementation of public school choice?</li> <li>▪ Are there any desegregation orders in effect in the State that impact on implementing public school choice?</li> <li>▪ Is there a system in place to respond to parent, LEA, or school complaints?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What guidance or technical assistance has the SEA provided regarding public school choice?</li> <li>▪ How did you identify the choice options that were available to parents with children in schools in improvement, corrective action, or restructuring?</li> <li>▪ How are you including special populations such as students with disabilities, migrant students, English-language learners, and student experiencing homelessness?</li> <li>▪ How many students were eligible to transfer and how many actually transferred?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA has established procedures to implement and monitor public school choice provisions.</li> <li>▪ Evidence of guidance provided to LEAs outlining requirements for implementing public school choice.</li> <li>▪ Identification of LEAs and their sending and receiving schools.</li> <li>▪ Numbers of students that exercise the public school choice option.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SEA shows an understanding of public school choice requirements.</li> <li>▪ The SEA is aware of potential problems related to choice implementation and has addressed them.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ List of schools identified for improvement, corrective action, or restructuring that are required to offer public school choice.</li> <li>▪ LEA guidance to identified schools regarding the implementation of public school choice.</li> <li>▪ Number of students eligible for transfer, and the number of actual transfers by school.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The LEA describes requirements for offering public school choice and explains the process used to assist parents in accessing choice if requested.</li> <li>▪ The LEA describes the extent of participation in public school choice.</li> <li>▪ The LEA describes parent inquiries and complaints regarding public school choice and their resolution.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.5: The SEA ensures that requirements for public school choice are met. §1112 and §1116; 34 CFR Part 200, §200.44</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ If participation rates are low, what steps have you taken to increase those rates?</li> <li>▪ Are there any desegregation orders in effect in the LEA that impact the implementation of public school choice?</li> <li>▪ If public school choice is not available (for allowable reasons) are students offered supplemental educational services instead?</li> <li>▪ In situations where all eligible students cannot be accommodated, how do you identify the lowest-achieving low-income children?</li> <li>▪ What types of information do you provide to parents about the schools that are available as choice options?</li> </ul>		

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.6: The SEA ensures that requirements for the provision of supplemental educational services (SES) are met. §1116; 34 CFR Part 200, §§200.45–200.47]</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How do you monitor the provision of SES and the effectiveness of SES providers?</li> <li>▪ How do you ensure that eligible students including students with disabilities, migrant students, English-language learners and students experiencing homelessness have access to SES?</li> <li>▪ What process did you use to ensure that there were sufficient providers to meet the needs of all students requesting services?</li> <li>▪ What process have you used to respond to complaints and questions from schools, parents, and providers?</li> <li>▪ If the SEA participates in the Secretary’s SES pilot program that allows LEAs to offer SES in the first year of improvement, what benefits have you observed to date?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA annually accepts proposals from, and makes available to the public, SES providers.</li> <li>▪ Evidence of objective criteria for selecting providers as required.</li> <li>▪ Evidence that the SEA has consulted with LEAs, parents, teachers, and the public to promote maximum participation by SES providers.</li> <li>▪ Up-to-date list of approved providers and evidence that this list has been distributed to LEAs.</li> <li>▪ Evidence that the SEA monitors SES providers and their progress.</li> <li>▪ Numbers of students eligible for, and participating in, SES, by district and school.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Notification to parents of eligible children of the availability of SES, including: <ul style="list-style-type: none"> <li>➢ List of approved providers (available within the LEA and those that make services reasonably available in neighboring LEAs);</li> <li>➢ Explanation of the procedures to determine student eligibility; and</li> <li>➢ An offer to assist parents in choosing a provider.</li> </ul> </li> <li>▪ Evidence that the LEA has complied with the required priority for providing SES if funds to serve all eligible students are insufficient.</li> <li>▪ Copies of the agreement/contract between the LEA and selected approved providers that meets statutory requirements.</li> <li>▪ List of schools offering SES and number of students eligible and participating, by school.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.6: The SEA ensures that requirements for the provision of supplemental educational services (SES) are met. §1116; 34 CFR Part 200, §§200.45–200.47</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ How do you identify students eligible to receive SES?</li> <li>▪ How many students were eligible for services and how many actually participated?</li> <li>▪ How were parents notified that their child was eligible to receive SES?</li> <li>▪ What have you done to increase low participation rates?</li> <li>▪ How were agreements with providers developed? (Includes the determination of specific services to be provided, how specific achievement goals adopted for students were developed, and how these services would be evaluated)</li> <li>▪ How does the LEA implement the requirement to provide priority to the lowest achieving, low-income students if demand is greater than available funds?</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff describe requirements for providing SES.</li> <li>▪ SEA staff describe selection and use of SES providers.</li> <li>▪ SEA staff describe issues related to the provision of SES and how those issues are being addressed.</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff describe its implementation and monitoring of SES.</li> <li>▪ LEA staff describe the process for assisting parents, when requested, to select an SES provider.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.6: The SEA ensures that requirements for the provision of supplemental educational services (SES) are met. §1116; 34 CFR Part 200, §§200.45–200.47</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What process have you used to respond to complaints and questions from schools, parents, and providers?</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff describe challenges related to the provision of SES, and how those challenges are being addressed.</li> </ul>	

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.7: The SEA ensures that LEAs and schools develop schoolwide programs that use the flexibility provided to them by the statute to improve the academic achievement of all students in the school. §1114, 34 CFR Part 200, §§200.25–200.28</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What technical assistance or guidance do you provide to schools planning to become schoolwide programs, including ensuring that the ten required components are included?</li> <li>▪ What technical assistance and guidance do you provide to LEAs regarding the planning, implementation, and evaluation of schoolwide programs?</li> <li>▪ What have you done to encourage LEAs to have schools consolidate funds in schoolwide programs, and how have barriers been removed or eliminated?</li> <li>▪ How do you inform LEAs and schools of the statutory requirements for schoolwide programs?</li> <li>▪ How do you monitor the development, implementation, and evaluation of schoolwide programs?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What guidance and technical assistance do you provide to schools to assist them in developing, evaluating, and revising schoolwide plans?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA provides guidance to LEAs on the intent, purpose, and processes of schoolwide programs and program requirements, including:               <ul style="list-style-type: none"> <li>➢ Conducting the comprehensive needs assessment,</li> <li>➢ Comprehensive planning,</li> <li>➢ Combining program funds,</li> <li>➢ Developing or revising schoolwide plans, and</li> <li>➢ Program and plan evaluation.</li> </ul> </li> <li>▪ Evidence that the SEA provides technical assistance and support in the areas of needs assessment, comprehensive planning, implementation, and evaluation to LEAs and schools developing schoolwide programs.</li> <li>▪ Evidence that the SEA has reduced barriers to consolidation of funds in schoolwide programs.</li> <li>▪ Evidence that the SEA maintains a record of schoolwide program schools and monitors the development, implementation, and evaluation of these programs.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the LEA provides guidance to schools about the development, implementation, and evaluation of schoolwide programs and program requirements.</li> <li>▪ Evidence that the LEA provides technical assistance and support to schools developing schoolwide programs in the areas of needs assessment, comprehensive planning, implementation, and evaluation.</li> <li>▪ Evidence that schoolwide programs are reviewed and evaluated annually, and revised accordingly.</li> <li>▪ Copies of schoolwide program plans that include the ten required components.</li> <li>▪ Evidence that indicates which program funds have been consolidated in the schoolwide program and how the intent and purposes of the individual programs consolidated are addressed.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.7: The SEA ensures that LEAs and schools develop schoolwide programs that use the flexibility provided to them by the statute to improve the academic achievement of all students in the school. §1114, 34 CFR Part 200, §§200.25–200.28</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ How do you ensure that the ten required components are included in the schoolwide and/or school improvement plan?</li> <li>▪ What technical assistance or guidance do you provide to schools to assist them in interpreting and understanding data used for the needs assessment?</li> <li>▪ How are parents involved in developing and evaluating schoolwide plans?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ How do you monitor/evaluate the implementation of schoolwide programs?</li> </ul> <p><u>School</u></p> <ul style="list-style-type: none"> <li>▪ How do you use assessment results to modify the schoolwide program plan and its implementation?</li> <li>▪ If the school is in improvement, how is the plan used to influence changes in the curriculum, and improve teaching and learning?</li> <li>▪ Who are the members of the schoolwide program planning team?</li> <li>▪ What technical assistance and support have you received related to planning, implementation, or evaluation of the schoolwide program?</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SEA describes the professional development and technical assistance it provides to LEAs and schools regarding the development of schoolwide programs.</li> <li>▪ The SEA describes which program funds may be combined in schoolwide programs, which are exempt, and which can be included with conditions.</li> <li>▪ The SEA discusses the processes it uses to ensure that schoolwide programs are comprehensively developed, evaluated annually, and revised on an ongoing basis.</li> </ul>	<p><u>Documentation</u> (continued)</p> <ul style="list-style-type: none"> <li>▪ Evidence that the schoolwide program is designed to upgrade the educational program for all students, but especially those most at risk of not meeting State standards.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA and school staff describe how schoolwide programs are used as a whole school reform strategy.</li> <li>▪ LEA and school staff describe how the schoolwide program serves all students, especially students most at-risk of failing to meet State academic performance standards.</li> <li>▪ LEA and school staff describe the development and implementation of schoolwide programs, including the process for conducting the needs assessment, comprehensive planning, and evaluation.</li> <li>▪ The LEA explains how schools consolidate funds in schoolwide program schools.</li> <li>▪ The LEA describes how it monitors schoolwide programs.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.7: The SEA ensures that LEAs and schools develop schoolwide programs that use the flexibility provided to them by the statute to improve the academic achievement of all students in the school. §1114, 34 CFR Part 200, §§200.25–200.28</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>School</u> (continued)</p> <ul style="list-style-type: none"> <li>▪ What changes have you made in your instructional program to ensure that the schoolwide program is used to upgrade the entire school?</li> </ul>		

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.8: The SEA ensures that LEA targeted assistance programs meet all requirements. §1115</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What guidance or technical assistance have you provided regarding targeted assistance programs – selection of students, service options, program evaluation, and coordination with regular education programs?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What guidance and technical assistance have you provided to your schools regarding targeted assistance programs - selection of students, service options, program evaluation, and coordination with regular education programs?</li> <li>▪ What is done to ensure that the amount of time students are removed from the regular classroom is minimized?</li> <li>▪ How are targeted assistance programs evaluated, and how are these results used to improve the instruction provided to participating students?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA has provided guidance and technical assistance on targeted assistance program requirements to LEAs.</li> <li>▪ Evidence that the SEA has monitored LEAs to ensure that targeted assistance programs comply with statutory purposes and requirements.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff members are knowledgeable about the creation and maintenance of targeted assistance programs.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the LEA has established targeted assistance programs that address statutory purposes and meet requirements including:               <ul style="list-style-type: none"> <li>➤ Using effective instructional methods and strategies that strengthen the core academic program of the school,</li> <li>➤ Correctly identifying students for participation,</li> <li>➤ Giving primary consideration to providing extended learning time for served students,</li> <li>➤ Providing an accelerated, high-quality curriculum, and</li> <li>➤ Minimizing the removal of children from the regular classroom during regular school hours.</li> </ul> </li> <li>▪ Evidence that the LEA ensures that targeted assistance program planning is coordinated with and supports the regular education program in the school.</li> <li>▪ Evidence that the LEA promotes the integration of Title I staff with regular instructional staff in all activities.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Program Improvement, Parental Involvement, and Options**

<b>2.8: The SEA ensures that LEA targeted assistance programs meet all requirements. §1115</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What professional development activities are provided to Title I teachers and regular classroom teachers working with Title I students?</li> <li>▪ How are targeted assistance programs evaluated and how are these results used to improve the instructional services provided to participating students?</li> </ul> <p><u>School</u></p> <ul style="list-style-type: none"> <li>▪ How are students selected to receive services?</li> <li>▪ What kinds of Title I services are provided – reading, math, pullout, in-class, etc.?</li> <li>▪ How are targeted assistance programs evaluated and how are these results used to improve instruction provided to participating students?</li> </ul>		<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA and school staff describes the implementation of targeted assistance program services.</li> </ul>

## Monitoring Indicators for Title I, Part A Fiduciary

<p><b>3.1: Within State Allocations, Reallocations, and Carryover.</b> The SEA complies with -</p> <ul style="list-style-type: none"> <li>▪ The procedures for adjusting ED-determined allocations outlined in §§200.70 – 200.75 of the regulations.</li> <li>▪ The procedures for reserving funds for school improvement, State administration, and (where applicable) the State Academic Achievement Awards program.</li> <li>▪ The reallocation and carryover provisions in § 1126(c) and § 1127 of the ESEA.</li> </ul>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>• When do LEAs receive their Title I allocation?</li> <li>• Has the SEA granted any waivers to LEAs exceeding the 15% limit? Under what circumstances? What are the procedures for granting waivers?</li> <li>• How does the SEA monitor budgets and notify LEAs having an excess of 15% of Title I funds close to the end of the fiscal year?</li> <li>• How does the SEA provide technical assistance and written guidance to LEAs regarding allocations, reservation of funds, carryover, and reallocation?</li> <li>• How are charter school LEAs included in the allocation process?</li> <li>▪ From the 4% reservation for section 1003(a)-(e) school improvement activities, how has the SEA allocated 95% of the amount reserved to LEAs with schools that have been identified for improvement, corrective action, or restructuring? Are all these funds being spent? What is the SEA's process for working with LEAs that may not be spending all of these funds?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Procedures showing how State adjusts ED allocations to account for the creation of new school districts and district boundary changes and to reserve funds for school improvement activities, State administration, and (where applicable) the State Academic Achievement Awards program.</li> <li>▪ Procedures showing how the State adjusts ED allocations to account for existing, as well as new and expanding charter school LEAs.</li> <li>▪ Evidence showing that the SEA has reserved 4% of the State's Title I, Part A allocation for section 1003(a)-(e) school improvement activities, and allocated 95% of the amount reserved to LEAs with schools that have been identified for improvement, corrective action, or restructuring.</li> <li>▪ Evidence that no LEA received a Title I amount less than the amount received in the prior year because of the school improvement reserve.</li> <li>▪ For State administration, evidence showing that the SEA has reserved not more than 1% of its Title I, Part A allocation for this purpose.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Date that LEA receives notification of its allocation from the SEA.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

- 3.1: Within State Allocations, Reallocations, and Carryover.** The SEA complies with—
- The procedures for adjusting ED-determined allocations outlined in §§200.70 – 200.75 of the regulations.
  - The procedures for reserving funds for school improvement, State administration, and (where applicable) the State Academic Achievement Awards program.
  - The reallocation and carryover provisions in § 1126(c) and § 1127 of the ESEA.

<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ If a State reserves funds for the State Academic Achievement Awards program, a record of the amount reserved for this purpose and evidence that the amount reserved did not exceed more than 5% of the amount in excess of the Title I, Part A amount the State received in the preceding year.</li> </ul>	

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.1 Within State Allocations, Reallocations, and Carryover.</b> The SEA complies with—</p> <ul style="list-style-type: none"> <li>▪ The procedures for adjusting ED-determined allocations outlined in §§200.70 – 200.75 of the regulations.</li> <li>▪ The procedures for reserving funds for school improvement, State administration, and (where applicable) the State Academic Achievement Awards program.</li> <li>▪ The reallocation and carryover provisions in § 1126(c) and § 1127 of the ESEA.</li> </ul>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Record of final basic, concentration, targeted, and education finance incentive grants to LEAs after SEA has adjusted ED allocations.</li> <li>▪ Evidence that LEAs have full access to Title I funds for the full 15 month availability period (until September 30).</li> <li>▪ SEA written guidance and/or technical assistance to LEAs regarding allocations, reservation of funds, carryovers, and reallocation.</li> <li>▪ Evidence that, if the SEA has made an exception to the 15 percent carryover limitation on carryover of funds, it has determined that the LEA request is reasonable and necessary or supplemental appropriations for Title I, Part A become available.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Date that LEA receives notification of its allocation from the SEA.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.1: Within State Allocations, Reallocations, and Carryover.** The SEA complies with—

- The procedures for adjusting ED-determined allocations outlined in §§200.70 – 200.75 of the regulations.
- The procedures for reserving funds for school improvement, State administration, and (where applicable) the State Academic Achievement Awards program.
- The reallocation and carryover provisions in § 1126(c) and § 1127 of the ESEA.

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff understands the process used to adjust ED-determined allocations.</li> <li>▪ SEA staff discusses technical assistance to LEAs regarding allocations.</li> <li>▪ SEA can explain the procedure it uses for ensuring that charter schools that are LEAs receive the Title I funding to which they are entitled.</li> <li>▪ SEA staff can explain how State reserved funds for school improvement adjusts LEA allocations and establishes criteria for awarding at least 95% of school improvement funds to LEAs with schools identified as needing improvement.</li> </ul>	

### Monitoring Indicators for Title I, Part A Fiduciary

<b>3.2: LEA Plan.</b> The SEA ensures that its LEAs comply with the provision for submitting an annual application to the SEA and revising LEA plans as necessary to reflect substantial changes in the direction of their program. [§ 1112]		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What is the process for review and approval of local applications?</li> <li>▪ What type of technical assistance is provided to LEAs regarding the submission of their annual plan?</li> <li>▪ What is the process for reviewing LEA plans to determine if activities are in accordance with sections 1118 (Parental Involvement) and 1119, (1112) (Professional Development)?</li> <li>▪ What is the process for submitting amendments?</li> <li>▪ When are LEAs required to submit amendments? What type(s) of change(s) require a formal amendment?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Review and approval process for LEA plans, including procedures. (Review checklists, established schedule).</li> <li>▪ Resolution procedures for unapproved plans.</li> <li>▪ Guidance to LEAs on local application preparation and submission of plan amendments.</li> <li>▪ Schedule/timeline regarding the process for submission, revisions, and final edits for LEA plans.</li> <li>▪ Evidence of technical assistance provided to LEAs on annual plan requirements.</li> <li>▪ Evidence of timely plan approval and release of funds.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff explains the process for review and approval of local applications (annual plans), amendments to plans and release of funds to LEAs.</li> <li>▪ Staff discusses technical assistance provided to LEAs regarding the annual plan process.</li> <li>▪ Staff explains the process for reviewing the LEA plan to determine if activities are in accordance with sections 1118 (Parental Involvement) and 1119, (1112) (Professional Development).</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Most recently approved annual plan from the LEA, which includes:               <ul style="list-style-type: none"> <li>➢ Needs Assessment</li> <li>➢ Allocation amount, budget information and required set-asides</li> <li>➢ A description of the poverty criteria used to select school attendance areas</li> <li>➢ Record of schools' AYP.</li> </ul> </li> <li>▪ Evidence that the plan included input from teachers, principals, administrators (including administrators of other programs described in Title I, Part A) and other appropriate school personnel, and parents of children in schools receiving Title I services.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff describes process for preparation and submission of annual plans to SEA, including technical assistance provided on the process.</li> <li>▪ Staff describes process for preparation and submission of plan amendments.</li> <li>▪ Staff demonstrates understanding of allocation formulas.</li> <li>▪ Staff discusses technical assistance to schools regarding allocations.</li> <li>▪ Staff demonstrates understanding of the connection between school improvement and effective use of funds.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<b>3.2: LEA Plan.</b> The SEA ensures that its LEAs comply with the provision for submitting an annual application to the SEA and revising LEA plans as necessary to reflect substantial changes in the direction of their program. [§1112]		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
		<u>Interview</u> <ul style="list-style-type: none"> <li>▪ Staff describes process for preparation and submission of annual plans to SEA, including technical assistance provided on the process.</li> <li>▪ Staff describes process for preparation and submission of plan amendments.</li> <li>▪ Staff demonstrates understanding of allocation formulas.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.3: Within District Allocation Procedures.** LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, & (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [ §§. 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>I. General LEA Selection and Allocation Requirements</b></p> <p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What process has the SEA put in place to ensure that its LEAs comply with selection and allocation requirements?</li> <li>▪ What guidance or instructions related to general selection and allocation requirements has the SEA provided to LEAs?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ Are low-income and enrollment data available for all schools in the LEA?</li> <li>▪ Has the LEA used the same measure of poverty for identifying eligible attendance areas and determining the allocation of each attendance area?</li> <li>▪ Are all participating schools being funded based on low-income data from the same source?</li> <li>▪ Are charter schools and alternative schools included in the ranking?</li> </ul>	<p><b>I. General LEA Selection and Allocation Requirements</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ SEA guidance or instructions related to general selection and allocation requirements.</li> <li>▪ SEA procedure(s) to ensure that LEAs comply with general selection and allocation requirements.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff can describe the guidance or instructions related to general selection and allocation requirements.</li> <li>▪ SEA staff can explain the process that the SEA uses to ensure that LEAs comply with general selection and allocation requirements.</li> </ul>	<p><b>I. General LEA Selection and Allocation Requirements</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ School Eligibility <ul style="list-style-type: none"> <li>➢ Documentation, if applicable, that the LEA has a waiver of requirements for the determination of eligible school attendance areas and allocations under a State-ordered or court-ordered desegregation plan.</li> <li>➢ Evidence that the LEA has correctly calculated the district-wide poverty average.</li> <li>➢ Evidence that the LEA is correctly applying the 125 percent rule if it serves any school below 35 percent.</li> </ul> </li> <li>▪ Enrollment Data <ul style="list-style-type: none"> <li>➢ Evidence that the LEA uses data that is consistent regarding the number of students residing in each of the school attendance areas.</li> <li>➢ SEA or LEA policies for determining student count.</li> </ul> </li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.3: Within District Allocation Procedures.</b> LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, &amp; (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [ §§ 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]</p>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
		<p><b>I. General LEA Selection and Allocation Requirements</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Measure of Poverty Used           <ul style="list-style-type: none"> <li>➤ A description of the poverty measure that is used to determine eligibility and allocate funds.</li> <li>➤ Evidence that the measure of poverty is used consistently across all school attendance areas.</li> </ul> </li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.3: Within District Allocation Procedures.** LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, & (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [ §§ 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]

<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><b>II. Rank Ordering and Allocation Procedures</b></p> <p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How does the SEA ensure that, when an LEA elects to “skip” an eligible school, that skipped school meets all the requirements related to “skipping?”               <ul style="list-style-type: none"> <li>➢ Meets comparability requirements</li> <li>➢ Receives supplemental State or local funds that are spent according to the requirements of Sec. 1114 (Schoolwide) or 1115 (Targeted Assistance)</li> <li>➢ The funds provided from other sources equal or exceed the amount that would have been provided under Title I.</li> </ul> </li> <li>▪ How does the SEA ensure that LEAs have correctly applied the provision related to “grandfathering”?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ Do low-income and enrollment data support the rank ordering of schools?</li> </ul>	<p><b>II. Rank Ordering and Allocation Procedures</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ SEA guidance or instructions for rank ordering schools.</li> <li>▪ SEA procedure(s) to ensure that LEAs meet requirements related to rank order.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff can describe the guidance or instructions to LEAs for rank ordering school.</li> <li>▪ SEA staff can explain the process the SEA uses to ensure compliance with rank order requirements.</li> </ul>	<p><b>II. Rank Ordering and Allocation Procedures</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Rank Order               <ul style="list-style-type: none"> <li>➢ Evidence that, for each attendance area, the percentage of poverty is correctly calculated.</li> <li>➢ Evidence that the feeder pattern, if applicable, is calculated correctly.</li> <li>➢ Evidence that charter schools are included in the ranking.</li> <li>➢ Evidence that, if funds are not available to serve all eligible schools within an eligible school attendance area, schools that have exceeded 75 percent poverty have been identified and ranked from highest percentage of poverty to lowest percentage of poverty.</li> <li>➢ Evidence that, once schools with poverty rates above 75 percent have been served, if there are funds available to serve additional schools, the additional schools have been ranked from highest percentage of poverty to lowest percentage of poverty or have been ranked by grade span.</li> </ul> </li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.3: Within District Allocation Procedures.</b> LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, &amp; (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [§§ 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]</p>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>II. Rank Ordering and Allocation Procedures</b></p> <p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How does the SEA ensure that <b>all</b> schools in LEAs including charter schools, alternative schools, and special education schools are included in the rank order?</li> </ul>	<p><b>II. Rank Ordering and Allocation Procedures</b></p>	<p><b>II. Rank Ordering and Allocation Procedures</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>➤ Calculating Per Pupil Allocation (PPA) Amounts.</li> <li>➤ Total Amount of Title I, Part A funds available for distribution to schools \$_____</li> <li>➤ Evidence that the LEA has allocated funds to participating school attendance areas in rank order.</li> <li>➤ Evidence that the LEA is correctly applying the 125 percent rule if they are serving schools below 35% poverty.</li> </ul> <p><u>Interview</u></p> <p>LEA staff demonstrate an understanding of:</p> <ul style="list-style-type: none"> <li>▪ The allocation formula including the procedures for rank ordering school attendance areas and schools and determining which attendance areas or schools are eligible for Title I.</li> <li>▪ The ranking procedures without regard to grade spans for schools with a poverty rate above 75 percent.</li> <li>▪ The requirement to exclude pre-kindergarten children from the poverty count of each school.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.3: Within District Allocation Procedures.** LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, & (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [ §§ 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>III. LEA Reservation of Funds</b></p> <p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What procedure does the SEA have in place to ensure that, before an LEA may reallocate funds originally reserved for choice-related transportation and/or supplemental educational services to other activities, it has first assured the SEA that eligible children and their families have had adequate time to avail themselves of the opportunity to transfer to other schools or to receive supplemental educational services?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ Is the LEA considering variations in personnel costs, such as seniority pay differentials or fringe benefit differentials, as LEA-wide administrative costs rather than as part of the funds allocated to schools?</li> </ul>	<p><b>III. LEA Reservation of Funds</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ SEA guidance or instructions to LEAs related to reserving funds for required or allowed reservations.</li> <li>▪ SEA procedure(s) for ensuring that LEAs meet reservation requirements annually.</li> <li>▪ SEA procedures to ensure that, before an LEA may reallocate funds originally reserved for choice-related transportation and/or supplemental educational services to other activities, it has first assured the SEA that eligible children and their families have had adequate time to avail themselves of the opportunity to transfer to other schools or to receive supplemental educational services.</li> <li>▪ SEA guidance or instructions to LEAs related to calculating the per-pupil funding cap for supplemental educational services.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff can describe the guidance or instructions to LEAs for reserving funds for various required or allowed reservations.</li> <li>▪ SEA staff can explain the process that the SEA uses to ensure compliance with requirements related to reservations.</li> </ul>	<p><u>III. LEA Reservation of Funds</u></p> <p>Documentation</p> <ul style="list-style-type: none"> <li>▪ Evidence that the LEA has reserved funds that are reasonable and necessary to provide services comparable to those provided to children in participating school attendance areas to serve: <ul style="list-style-type: none"> <li>➤ Homeless Children <ul style="list-style-type: none"> <li>○ Evidence that the LEA has reserved funds to serve homeless students who do not attend participating schools.</li> </ul> </li> <li>➤ Children in local institutions for neglected and delinquent children <ul style="list-style-type: none"> <li>○ Evidence that the LEA has reserved funds to serve children in local institutions for neglected children; and, if appropriate, children in local institutions for delinquent children; and, neglected and delinquent children in community-day programs.</li> </ul> </li> </ul> </li> <li>▪ Evidence that the LEA has reserved funds to provide, where appropriate, financial incentives and rewards to teachers who serve students in Title I schools identified for improvement, corrective action, or restructuring.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.3: Within District Allocation Procedures.** LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, & (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [§§ 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]

<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<b>III. LEA Reservation of Funds</b>	<p><b>III. LEA Reservation of Funds</b></p> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff can explain the SEA procedures to ensure that, from funds reserved for parental involvement and professional development, LEAs have correctly calculated the amount for services to private school families and teachers.</li> <li>▪ SEA staff can explain the procedure that is used to ensure that any LEA that has requested to reallocate funds originally reserved for choice-related transportation and/or supplemental services to other activities has first ensured that eligible children and their families have had adequate time to avail themselves of the opportunity to transfer to other schools or to receive supplemental educational services.</li> <li>▪ SEA staff can explain the process for calculating the per-pupil funding cap for supplemental educational services.</li> </ul>	<p><b>III. LEA Reservation of Funds</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the LEA has reserved funds for: <ul style="list-style-type: none"> <li>➤ Choice-Related Transportation</li> </ul> </li> <li>▪ Evidence that the LEA, if appropriate, has reserved an amount equal to 20 percent of its Title I, Part A allocation for choice and SES, assuming sufficient demand unless the LEA meets these requirements with non-Title I funds.</li> <li>▪ Evidence that if demand from parents for transportation exceeds 5 percent, the LEA is spending at least 5 percent on transportation.</li> <li>▪ Evidence that, if the LEA has reallocated funds reserved for choice-related transportation and/or supplemental educational services to other activities, it has first assured the SEA that eligible children and their families have had adequate time to avail themselves of the opportunity to transfer to other schools or to receive supplemental educational services.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.3: Within District Allocation Procedures.** LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, & (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [ §§ 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>III. LEA Reservation of Funds</b></p>	<p><b>III. LEA Reservation of Funds</b></p>	<p><b>III. LEA Reservation of Funds</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff can provide documentation related to the amount of funding that has been expended for choice-related transportation and supplemental educational services as of _____ (Date to be determined by ED staff)</li> <li>▪ Professional Development               <ul style="list-style-type: none"> <li>➤ Evidence that the LEA has reserved at least 5 percent of its allocation (unless a lesser amount is needed) to provide professional development activities to ensure that teachers who are not highly qualified become highly qualified.</li> </ul> </li> <li>▪ Parental Involvement               <ul style="list-style-type: none"> <li>➤ Evidence that, if the LEA receives a Title I, Part A allocation greater than \$500,000, it has reserved at least one percent of that allocation for parental involvement activities.</li> </ul> </li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.3: Within District Allocation Procedures.** LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, & (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [§§ 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>III. LEA Reservation of Funds</b></p>	<p><b>III. LEA Reservation of Funds</b></p>	<p><b>III. LEA Reservation of Funds</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>➤ Evidence that, after the LEA has determined the private school portion, the LEA has distributed at least 95 percent of the remainder to schools.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.3: Within District Allocation Procedures.</b> LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, &amp; (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [ §§ 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]</p>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>IV. Equitable Services for Private School Participants</b></p> <p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What procedures does the SEA use to ensure that LEAs have correctly calculated the amount of funds for equitable services to private school participants and their teachers and families?</li> </ul>	<p><b>IV. Equitable Services for Private School Participants</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Procedures that the SEA uses to ensure that LEAs have correctly calculated the amount of funds for equitable services to private school participants and their teachers and families.</li> </ul>	<p><b>IV. Equitable Services for Private School Participants</b></p> <p><u>Documentation</u></p> <p>Evidence that the LEA has correctly calculated the amount of funds for equitable services to private school participants and their teachers and families, including carryover as appropriate:</p> <ul style="list-style-type: none"> <li>➤ Proportion of Reservation _____ . 5%</li> <li>➤ Amount reserved for Instructional Services – Private School Participants _____.</li> <li>➤ Amount reserved for Parental Involvement – Families of Private School Participants _____.</li> <li>➤ Amount reserved for Professional Development – Teachers of Private School Participants _____.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff can explain the calculations used to determine the equitable portion of their applicable reservations (including carryover) for participating private school children and their teachers and families.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.3: Within District Allocation Procedures.</b> LEA complies with the requirements with regard to: (1) Reserving funds for the various set-asides either required or allowed under the statute, &amp; (2) Allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area. [ §§ 1113, 1116, 1118 of the ESEA and § 200.77 and §200.78 of the Title I regulations]</p>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>V. Additional Reservation of Funds for LEA and School Improvement</b></p> <p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What guidance has the SEA provided to LEAs regarding reservations for requirements related to LEA and school improvement that are carried over into the next school year?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ How does the LEA handle any reservations for requirements related to LEA and school improvement that are carried over into the next school year?</li> </ul>	<p><b>V. Additional Reservation of Funds for LEA and School Improvement</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ SEA guidance or instructions to LEAs related to reservations for LEA and school improvement.</li> <li>▪ SEA guidance or instructions to LEAs to inform them that the equitable services provision does not apply to reservations related to LEA and school improvement.</li> <li>▪ SEA procedures for ensuring that LEAs meet reservation requirements related to LEA and school improvement annually.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff can describe the process that the SEA uses for ensuring that LEAs meet reservation requirements related to LEA and school improvement annually.</li> <li>▪ SEA staff can describe the process that the SEA uses to inform them that the equitable services provision does not apply to reservations related to LEA and school improvement.</li> </ul>	<p><b>V. Additional Reservation of Funds for LEA and School Improvement</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that, if the LEA has been identified for improvement, it has reserved at least 10 percent of its allocation for professional development activities (this may include funds reserved at the school level for those schools identified for improvement).</li> <li>▪ Evidence that Title I schools that have been identified for improvement have reserved at least 10 percent of their allocation for professional development activities.</li> <li>▪ Evidence that the LEA has not provided equitable services from reservations related to LEA and school improvement.</li> </ul>

## Monitoring Indicators for Title I, Part A Fiduciary

<p><b>3.4: Fiscal Requirements: Maintenance of Effort, Comparability, and Supplement not Supplant---</b>The SEA ensures that the LEA complies with---</p> <ul style="list-style-type: none"> <li>▪ The procedures for ensuring maintenance of effort (MOE) as outlined in §1120A and 9021 of the ESEA.</li> <li>▪ The procedures for meeting the comparability requirement as outlined in § 1120A of the ESEA.</li> <li>▪ The procedures for ensuring that Federal funds are supplementing and not supplanting non-Federal sources used for the education of participating children as outlined in §1120A of the ESEA, §1114 of the ESEA, §1115 of the ESEA, and §1116 of the ESEA.</li> </ul>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>Maintenance of Effort</b></p> <ul style="list-style-type: none"> <li>▪ How does the SEA ensure that LEAs comply with the maintenance of effort fiscal requirement under Title I?</li> <li>▪ How does the SEA provide technical guidance and support of its LEAs in the area of MOE?</li> </ul>	<p><b>Maintenance of Effort</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Procedures for determining maintenance of effort (MOE), including funds to be excluded from MOE calculations.</li> <li>▪ MOE report comparing fiscal effort of first preceding year with second preceding year.</li> <li>▪ For each LEA that does not maintain effort, the SEA calculations to determine how much the LEA’s allocation for each covered program is reduced.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff understands which types of funds are to be included and excluded when determining maintenance of effort.</li> <li>▪ Staff understands that an LEA’s allocations under Title I or the other covered programs must be reduced by the exact proportion its education expenditures from State and local sources in the comparison year fell below 90% of its expenditures in the preceding year. Staff understands maintenance of effort can be determined by using either fiscal effort per student or aggregate expenditures.</li> </ul>	<p><b>Maintenance of Effort</b></p> <p><u>Documentation</u></p> <p><i>(Usually done at the SEA level. If maintenance of effort is calculated at the LEA, provide the same evidence as requested from the State, in addition to SEA guidance on procedures for calculating maintenance of effort.)</i></p>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.4: Fiscal Requirements: Maintenance of Effort, Comparability, and Supplement not Supplant---</b> The SEA ensures that the LEA complies with---</p> <ul style="list-style-type: none"> <li>▪ The procedures for ensuring maintenance of effort (MOE) as outlined in §1120A and 9021 of the ESEA.</li> <li>▪ The procedures for meeting the comparability requirement as outlined in § 1120A of the ESEA.</li> <li>▪ The procedures for ensuring that Federal funds are supplementing and not supplanting non-Federal sources used for the education of participating children as outlined in §1120A of the ESEA, §1114 of the ESEA, §1115 of the ESEA, and §1116 of the ESEA.</li> </ul>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>Maintenance of Effort</b></p>	<p><b>Maintenance of Effort</b></p> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff understands that the Secretary may waive maintenance of effort requirements for the following reasons:               <ul style="list-style-type: none"> <li>➤ Exceptional or uncontrollable circumstances such as a natural disaster; or</li> <li>➤ A precipitous decline in the financial resources of the LEA.</li> </ul> </li> </ul>	

## Monitoring Indicators for Title I, Part A Fiduciary

<p><b>3.4: Fiscal Requirements: Maintenance of Effort, Comparability, and Supplement not Supplant---</b> The SEA ensures that the LEA complies with---</p> <ul style="list-style-type: none"> <li>▪ The procedures for ensuring maintenance of effort (MOE) as outlined in §1120A and 9021 of the ESEA.</li> <li>▪ The procedures for meeting the comparability requirement as outlined in § 1120A of the ESEA.</li> <li>▪ The procedures for ensuring that Federal funds are supplementing and not supplanting non-Federal sources used for the education of participating children as outlined in §1120A of the ESEA, §1114 of the ESEA, §1115 of the ESEA, and §1116 of the ESEA.</li> </ul>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>Comparability</b></p> <ul style="list-style-type: none"> <li>▪ How does the SEA ensure that LEAs comply annually with comparability requirements under Title I?</li> <li>▪ How does the SEA provide technical guidance and support of its LEAs in the area of comparability?</li> <li>▪ How does the SEA ensure that, in cases where Title I schools are not comparable, the LEA has made adjustments to the allocation of resources that LEA made to ensure that Title I and non-Title I schools are comparable?</li> </ul>	<p><b>Comparability</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Guidance provided to the LEAs describing the approved procedures for determining comparability.</li> <li>▪ Sample comparability reports comparing Title I schools to non-Title I schools.</li> <li>▪ Evidence that SEA is monitoring comparability at least every two years.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff understands Title I schools must be comparable using one of several approved methods for computing comparability.</li> <li>▪ Staff understands schools must be comparable in order to receive Title I funds, thus calculations ensuring comparability must be computed annually.</li> <li>▪ Staff understands comparability must be reported to the SEA at least biennially.</li> </ul>	<p><b>Comparability</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Annual comparability calculations for Title I schools and non-Title I schools showing that the resources Title I schools receive from local and State funds are comparable to those received by non-Title I schools.</li> <li>▪ In cases where Title I schools are not comparable, documentation showing adjustments to the allocation of resources that LEA made to ensure that Title I and non-Title I schools are comparable.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff understands Title I schools must be comparable using one of several approved methods for computing comparability.</li> <li>▪ LEA staff understands schools must be comparable in order to receive Title I funds, thus calculations ensuring comparability must be computed annually.</li> </ul>

## Monitoring Indicators for Title I, Part A Fiduciary

<p><b>3.4: Fiscal Requirements: Maintenance of Effort, Comparability, and Supplement not Supplant---</b> The SEA ensures that the LEA complies with---</p> <ul style="list-style-type: none"> <li>▪ The procedures for ensuring maintenance of effort (MOE) as outlined in §1120A and 9021 of the ESEA.</li> <li>▪ The procedures for meeting the comparability requirement as outlined in § 1120A of the ESEA.</li> <li>▪ The procedures for ensuring that Federal funds are supplementing and not supplanting non-Federal sources used for the education of participating children as outlined in §1120A of the ESEA, §1114 of the ESEA, §1115 of the ESEA, and §1116 of the ESEA.</li> </ul>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>Comparability</b></p>	<p><b>Comparability</b></p> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff understands that, in cases where Title I schools are not comparable to non-Title I schools, the LEA must make adjustments in staffing or other resources to make Title I schools comparable or reimburse the Title I program to the extent that Title I schools are not comparable.</li> <li>▪ Staff understands that the LEA may exclude State and local funds expended for bilingual education for LEP/ELL children and excess costs of providing services to children w/disabilities (as determined by LEA).</li> <li>▪ Staff understands the comparability requirement does not apply to an LEA that does not have more than one building for each grade span.</li> </ul>	<p><b>Comparability</b></p> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff understands comparability must be reported to the SEA at least biennially, and calculations done annually.</li> <li>▪ Staff understands that, in cases where Title I schools are not comparable to non-Title I schools, the LEA must make adjustments in staffing or other resources to make Title I schools comparable or reimburse the Title I program to the extent that Title I schools are not comparable.</li> <li>▪ The LEA has a definition for the positions considered to be instructional staff.</li> <li>▪ Staff understands that the LEA may exclude State and local funds expended for bilingual education for LEP/ELL children and excess costs of providing services to children w/disabilities (as determined by LEA).</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.4: Fiscal Requirements: Maintenance of Effort, Comparability, and Supplement not Supplant---</b> The SEA ensures that the LEA complies with---</p> <ul style="list-style-type: none"> <li>▪ The procedures for ensuring maintenance of effort (MOE) as outlined in §1120A and 9021 of the ESEA.</li> <li>▪ The procedures for meeting the comparability requirement as outlined in § 1120A of the ESEA.</li> <li>▪ The procedures for ensuring that Federal funds are supplementing and not supplanting non-Federal sources used for the education of participating children as outlined in §1120A of the ESEA, §1114 of the ESEA, §1115 of the ESEA, and §1116 of the ESEA.</li> </ul>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>Comparability</b></p>	<p><b>Comparability</b></p>	<p><b>Comparability</b></p> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The staff understands the comparability requirement does not apply to an LEA that does not have more than one building for each grade span.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.4: Fiscal Requirements: Maintenance of Effort, Comparability, and Supplement not Supplant---</b> The SEA ensures that the LEA complies with---</p> <ul style="list-style-type: none"> <li>▪ The procedures for ensuring maintenance of effort (MOE) as outlined in §1120A and 9021 of the ESEA.</li> <li>▪ The procedures for meeting the comparability requirement as outlined in § 1120A of the ESEA.</li> <li>▪ The procedures for ensuring that Federal funds are supplementing and not supplanting non-Federal sources used for the education of participating children as outlined in §1120A of the ESEA, §1114 of the ESEA, §1115 of the ESEA, and §1116 of the ESEA.</li> </ul>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>Supplement Not Supplant</b></p> <p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How does the SEA ensure that LEAs comply with the supplement not supplant requirements?</li> <li>▪ How does the SEA provide technical assistance and support to LEAs in the area of supplement not supplant?</li> </ul>	<p><b>Supplement Not Supplant</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Written SEA guidance to LEAs on supplement not supplant requirements.</li> <li>▪ Evidence that questions or inquiries from LEAs and schools regarding supplement not supplant issues have been adequately addressed.</li> <li>▪ Evidence that the SEA has monitored expenditures of LEAs to ensure that funds are used to supplement, and not supplant State and local funds.</li> <li>▪ Budget records.</li> <li>▪ Personnel records.</li> <li>▪ Inventory records.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff describes statutory requirements.</li> <li>▪ Staff describes technical assistance provided to LEAs regarding this requirement.</li> <li>▪ Staff describes the process for ensuring compliance with this requirement.</li> </ul>	<p><b>Supplement Not Supplant</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA approved budget and records of expenditures of Title I funds at the district level.</li> <li>▪ Record of schoolwide expenditures that verifies that funds have not supplanted non-Federal funds.</li> <li>▪ Record of targeted assistance program expenditures that verifies that funds have been used to meet the statutory requirements for such programs and not to supplant non-Federal resources.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA and school staff expresses understanding of statutory requirement.</li> <li>▪ Participants express understanding of the intent and purpose of schoolwide programs and targeted assistance programs and the distinction between them.</li> <li>▪ LEA staff describes technical assistance provided by the SEA.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<b>3.5: Audits.</b> The SEA ensures that its LEAs are the SEA itself comply with all the auditee responsibilities specified in subpart C, §300(a)-(f) of OMB Circular A-133.		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How does the SEA ensure that issues identified in the single audit (both at the SEA and LEA level) are resolved in a timely manner?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Copies of the two most recent A-133 single audit reports, the two most recent financial statement audit reports, and any ED OIG audit reports issued within the last two years.</li> <li>▪ Copies of SEA corrective action plans and any related approval documents.</li> <li>▪ Copies of SEA policies and procedures for LEAs in resolution of audit findings.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff discusses the status of corrective actions formulated subsequent to receipt of audit reports.</li> <li>▪ SEA staff describes the process for ensuring corrective action and how it follows up on corrective actions identified in the single audit process.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Copies of the two most recent A-133 single audit reports, the two most recent financial statement audit reports, and any ED OIG reports issued within the last two years.</li> <li>▪ Copies of LEA corrective action plans and any related approval documents.</li> <li>▪ Copies of LEA policies and procedures for the resolution of audit findings.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff discusses the status of corrective actions formulated subsequent to receipt of audit reports.</li> <li>▪ LEA staff describes the process for ensuring corrective action and how the SEA follows up on corrective actions identified in the single audit process.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.5: Audits.** The SEA ensures that its LEAs are the SEA itself comply with all the auditee responsibilities specified in subpart C, §300(a)-(f) of OMB Circular A-133.

<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff discusses how it ensures that issues identified through the single audit process (both SEA and LEA levels) are resolved in a timely manner.</li> <li>▪ SEA staff demonstrates an understanding of requirements of audit procedures for the SEA.</li> <li>▪ SEA staff discusses how it tracks the resolution of issues in LEA single audits.</li> <li>▪ SEA staff discusses how it ensures that its LEAs are audited annually.</li> <li>▪ SEA staff describes any patterns of recurring findings in LEAs and what it has done to address these issues.</li> <li>▪ SEA staff describes how it utilizes data from the single audit process in its monitoring process.</li> <li>▪ SEA staff describes how it ensures that charter schools are included in single audits (both as schools within the LEA and as LEAs).</li> </ul>	<p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA staff discusses how it ensures that issues identified through the single audit process are resolved in a timely manner.</li> <li>▪ LEA staff demonstrates an understanding of requirements of audit procedures for the LEA.</li> <li>▪ LEA staff discusses how it tracks the resolution of issues in LEA single audits.</li> <li>▪ LEA staff describes any patterns of recurring findings and what it has done to address these issues.</li> <li>▪ LEA staff describes how it utilizes data from the single audit process in its monitoring process.</li> <li>▪ LEA staff describes how it ensures that charter schools are included in single audits.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.6: Services to Eligible Private School Children.** The SEA ensures that the LEA complies with requirements with regard to services to eligible private school children, their teachers and their families. § 1120 and 9306 of the statute, § 443 of GEPA, and §§ 200.62 – 200.67, 200.77 and § 200.78 of the Title I Regulations

<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p style="text-align: center;"><b>Services to Private School Children</b></p> <p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What guidance/technical assistance has the SEA provided to its LEAs regarding the provision of services to eligible children attending private schools?</li> <li>▪ How does the SEA ensure that its LEAs are meeting these requirements?</li> </ul>	<p style="text-align: center;"><b>Services to Private School Children</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Procedures that the SEA uses to determine that the required consultation occurred.</li> <li>▪ Evidence that LEAs have met the requirements for consultation, written affirmation and evaluation of the program.</li> <li>▪ Copies of affirmation forms from LEAs that the SEA has collected.</li> <li>▪ Evidence that LEAs have met the requirements for financial recordkeeping related to services to private school children that will facilitate an effective financial or programmatic audit.</li> <li>▪ Evidence that the SEA has provided information to LEAs that are serving eligible private school children through contracts with a third party to ensure that the third party is providing Title I services to eligible private school children in accordance with all Title I requirements.</li> <li>▪ Copy of monitoring protocols that the SEA uses to monitor the requirements of provision of services to eligible children attending private schools.</li> </ul>	<p style="text-align: center;"><b>Services to Private School Children</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that consultation has occurred between LEA and private school officials or its representatives regarding services for private school children prior to the LEA making any decision.</li> <li>▪ Copy of written affirmation from officials of private school or a representative.</li> <li>▪ Evidence that private school children that have been selected for services reside in a participating public school attendance area and meet the multiple academic criteria established by the LEA in consultation with private school officials.</li> <li>▪ Evidence that providers of services are employees of the LEA or employees of third party contractor.</li> <li>▪ Documentation that all teachers and/or paraprofessionals employed by the LEA who provide services to private school children meet the Section 1119 requirements.</li> <li>▪ Evidence that the LEA is evaluating the Title I program serving private school students and making modifications if necessary.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.6: Services to Eligible Private School Children.</b> The SEA ensures that the LEA complies with requirements with regard to services to eligible private school children, their teachers and their families. § 1120 and 9306 of the statute, § 443 of GEPA, and §§ 200.62 – 200.67, 200.77 and § 200.78 of the Title I Regulations</p>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><b>Services to Private School Children</b></p>	<p><b>Services to Private School Children</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ SEA complaint procedures for private schools officials.</li> <li>▪ Evidence that the SEA has provided guidance/technical assistance to its LEAs regarding the provision of services to eligible children attending private schools.</li> </ul>	<p><b>Services to Private School Children</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Copy of third party contract(s) and invoices from the third party contractor (If applicable).</li> <li>▪ Evidence that the LEA regularly supervises the provision of Title I services to private school children.</li> <li>▪ Evidence that the LEA maintains control of the Title I funds, materials, equipment and property that support services to private school children.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

**3.6: Services to Eligible Private School Children.** The SEA ensures that the LEA complies with requirements with regard to services to eligible private school children, their teachers and their families. § 1120 and 9306 of the statute, § 443 of GEPA, and §§ 200.62 – 200.67, 200.77 and § 200.78 of the Title I Regulations

<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><b>Services to Private School Children</b></p>	<p><b>Services to Private School Children</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA has provided technical assistance to LEAs that are serving eligible private school children through contracts with a third party to ensure that the third party is providing Title I services to eligible private school children in accordance with all Title I requirements.</li> <li>▪ Evidence that, when LEAs contract with third party contractors to provide services to private school children, the administrative costs for the contractor are taken “off the top.”</li> </ul> <p><u>Interviews</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff can discuss technical assistance that the SEA has provided to LEAs related to the provision of services to eligible private school children.</li> <li>▪ SEA staff can discuss how the SEA ensures that LEAs meet the requirements for consultation and written affirmation.</li> <li>▪ SEA staff can discuss how the SEA ensures that LEAs meet the requirements for financial recordkeeping related to services to private school children that will facilitate an effective financial or programmatic audit.</li> </ul>	<p><b>Services to Private School Children</b></p> <p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Title I funded materials and equipment located at the private school are properly labeled.</li> <li>▪ Copy of SEA complaint procedures for private school officials.</li> </ul> <p><u>Interviews</u></p> <ul style="list-style-type: none"> <li>▪ Staff understands that the LEA is responsible for designing and implementing the program only after required consultation.</li> <li>▪ Staff can discuss the LEA procedures for provision of services to eligible children attending private schools.</li> <li>▪ Staff can explain the process of approving and monitoring of third party contract.</li> <li>▪ Staff understands pooling option.</li> <li>▪ Staff understands that standards, assessments and annual progress must be established during consultation before any evaluation of the Title I program occurs.</li> <li>▪ Staff understands poverty for private school participants can be determined either each year or every 2 years.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<p><b>3.6: Services to Eligible Private School Children.</b> The SEA ensures that the LEA complies with requirements with regard to services to eligible private school children, their teachers and their families. § 1120 and 9306 of the statute, § 443 of GEPA, and §§ 200.62 – 200.67, 200.77 and § 200.78 of the Title I Regulations</p>		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><b>Services to Private School Children</b></p>	<p><b>Services to Private School Children</b></p> <p><u>Interviews</u></p> <ul style="list-style-type: none"> <li>▪ Staff can discuss how the SEA ensures that LEAs exercise oversight over contracts with individuals, associations, agencies or organizations that provide Title I services to private school children.</li> </ul>	<p><b>Services to Private School Children</b></p> <p><u>Interviews</u></p> <ul style="list-style-type: none"> <li>▪ Staff understands their role in supervising Title I services to private school participants.</li> <li>▪ Staff can discuss the program being provided for children attending private schools including what subjects, if any, the children are missing.</li> </ul>

**Monitoring Indicators for Title I, Part A  
Fiduciary**

<b>3.7: Complaint Procedures.</b> The SEA has a system for ensuring fair and prompt resolution of complaints. § 9304 of the statute		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What complaint procedures are currently in effect?</li> <li>▪ Have any complaints been received this past year. If so, how were they resolved?</li> <li>▪ What technical assistance is provided to schools regarding complaint policies and procedures?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Copies of State complaint policy and procedures.</li> <li>▪ Copy of procedures or process for tracking complaints.</li> <li>▪ Reports on complaint resolutions.</li> <li>▪ Evidence that complaint procedures were implemented.</li> <li>▪ Evidence that complaints are addressed, investigated and resolved in a timely manner.</li> <li>▪ Documentation that information on the complaint process has been widely disseminated to LEAs statewide.</li> </ul> <p><u>Interviews</u></p> <ul style="list-style-type: none"> <li>▪ Staff can discuss the SEA complaint policy.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Copies of LEA complaint policy and procedures.</li> <li>▪ Copy of procedures or process for tracking complaints.</li> <li>▪ Reports on resolution of complaints.</li> <li>▪ Evidence indicating that complaint procedures were implemented.</li> <li>▪ Evidence that complaints referred to the SEA have been addressed, investigated and resolved in a timely manner.</li> </ul> <p><u>Interviews</u></p> <ul style="list-style-type: none"> <li>▪ Staff can discuss the SEA complaint policy.</li> </ul>

### Monitoring Indicators for Title I, Part A Fiduciary

<b>3.8: Committee of Practitioners (COP).</b> The SEA establishes a Committee of Practitioners (COP) and involves the committee in decision making as required. §1903 and § 1111 of the statute		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Is there a Committee of Practitioners in place?</li> <li>▪ Can the SEA provide examples as to how the COP is regularly involved in advising the State on its Title I responsibilities?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the COP has a membership comprised of representatives from LEAs, as a majority of its members; administrators; teachers, including vocational educators; parents; members of local school boards; representatives of private school children; and pupil services personnel.</li> <li>▪ Evidence that the COP advises the State in carrying out its Title I responsibilities, including reviewing any proposed or final State Title I rule or regulation before its publication and developing and monitoring the implementation of the State’s plan.</li> <li>▪ Evidence that the COP has been involved in matters regarding the State administration of Title I programs.</li> </ul>	<p><u>SEA Requirement</u></p>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>1.1: The SEA complies with the subgrant award requirements. §§ 1232, 1233, 1238 and §1903 of the statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What is the State’s process for advertising, reviewing, and awarding new grants?</li> <li>▪ How does the Committee of Practitioners operate?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ Describe the application process. Was the RFP clear and easy to respond to? Did you receive any technical assistance? Did you receive feedback on your proposal?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Request for proposals (RFPs) or requests for applications (RFAs).</li> <li>▪ Selection criteria and priorities if not included in RFP or RFA.</li> <li>▪ Sample(s) of funded applications.</li> <li>▪ State rules, written policy, or guidance about the Even Start subgrant competition.</li> <li>▪ Membership of Committee of Practitioners.</li> <li>▪ Peer review panel(s) composition.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff evidence understanding of application and subgrant award requirements, including eligible entities, application content, matching, selection criteria and priorities, and award process for new and continuation awards.</li> <li>▪ Staff explains how SEA uses a Committee of Practitioners during subgrant award process.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Comments received from review panel.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff describes the application process.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>1.2: The SEA requires applicants to submit applications for subgrants with the necessary documentation.</b> §1237 of the statute		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ What do you do if you receive an application that does not include all of the required components?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Application form – that includes (1) information on qualified personnel; (2) description of program objectives and consistency with State indicators of program quality; (3) description of activities including the program elements; (4) description of population served; (5) description of collaborative efforts; (6) statement of methods that will be used to ensure project will serve families most in need, individuals with special needs, and a retention plan; (7) description of how the plan is integrated with other programs; (8) information on local evaluation and how data will be used for improvement.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff describes the process for developing the application and the role of the Committee of Practitioners in developing the application</li> </ul>	N/A

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

**1.3: In making non-competitive continuation awards, the SEA reviews the progress of each subgrantee in meeting the objectives of the program and evaluates the program based on the indicators of program quality, and refuses to award subgrant funds to an eligible entity if the agency finds that the entity has not sufficiently improved the performance of the program. §1238 of the statute**

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How does the SEA determine if projects are making sufficient progress?</li> <li>▪ How are grantees informed about policies for discontinuing grants?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What standards do you have to meet in order to achieve sufficient progress?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Review form or protocol used by SEA for making continuation awards</li> <li>▪ Description of process used by SEA to make continuation awards</li> <li>▪ Names of projects determined to be making insufficient progress and rationale for this justification</li> <li>▪ Evidence of technical assistance provided to projects not making sufficient progress</li> <li>▪ Hearing record for projects discontinued</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff discusses the process used to review the annual progress of subgrantees</li> <li>▪ Staff describes how the State indicators of program quality are used to determine sufficient progress</li> <li>▪ Staff discusses the process used to provide technical assistance and then, if necessary, discontinue projects not making sufficient progress</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Most recent Annual report to SEA</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff discusses the process used to review their progress</li> <li>▪ Staff demonstrates understanding of the standard used to determine sufficient progress</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

**1.4: The SEA develops indicators of program quality for Even Start programs, and uses the Indicators to monitor, evaluate, and improve projects within the State. § 1240; 34 CFR §80.40 of the statute**

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How were the indicators developed? What changes have been made to the indicators since they were developed?</li> <li>▪ Describe the current annual cycle of monitoring.</li> <li>▪ How does the State follow up on the recommendations and corrective action steps it makes?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What is your understanding of how the SEA monitors?</li> <li>▪ How useful are the indicators, in any capacity, to your program?</li> <li>▪ How has the State followed up with recommendations or corrective actions made to your project?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ The performance indicators developed by the SEA</li> <li>▪ Monitoring instrument or protocol, based on State indicators of program quality</li> <li>▪ Established cycle of monitoring, at least annually</li> <li>▪ State evaluation, if any, incorporating Indicators of Program Quality</li> <li>▪ Evidence (i.e., meeting, agendas, communications with projects) about improvements needed based on performance on the Indicators of Program Quality</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff can discuss how the indicators were developed and what changes have been made in the indicators since they were first developed</li> <li>▪ Staff describes monitoring process, including the monitoring schedule, use of the State indicators of program quality, on-site procedures, data review, and the reporting and corrective action processes</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Copy of monitoring report or letter from SEA</li> <li>▪ Evidence that corrective action or recommendation has been addressed</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff knows about the indicators of program quality and how they are used</li> <li>▪ Staff discusses the monitoring visit and the corrective actions or recommendations contained in the report or letter</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>1.5: The SEA ensures that projects provide for an independent local evaluation of the program that is used for program improvement.</b> § 1235(15) of the statute		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<u>SEA</u> <ul style="list-style-type: none"> <li>▪ How does the State support local evaluation efforts?</li> <li>▪ How does the State review and respond to each project’s local evaluation?</li> </ul> <u>LEA</u> <ul style="list-style-type: none"> <li>▪ How do project staff and the local project evaluator work together throughout the year?</li> <li>▪ How do staff members use evaluation information to inform instructional practices?</li> </ul>	<u>Documentation:</u> <ul style="list-style-type: none"> <li>▪ Sample local evaluation</li> <li>▪ Training or guidance provided to projects on effective local evaluation.</li> <li>▪ Written feedback to projects concerning local evaluation.</li> </ul> <u>Interview:</u> <ul style="list-style-type: none"> <li>▪ Staff discusses how evaluations are tied to the State performance indicators</li> <li>▪ Staff discusses how evaluation data is used for continuous improvement</li> </ul>	<u>Documentation:</u> <ul style="list-style-type: none"> <li>▪ Local evaluation report</li> <li>▪ Evidence that data was used for continuous program improvement</li> </ul> <u>Interview:</u> <ul style="list-style-type: none"> <li>▪ Staff discusses how evaluation data is used for continuous program improvement</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>1.6: The SEA reports to ED in a timely manner using the required performance measures and ensures that local projects are assessing the progress of their participants using those measures. [34 CFR §76.720, §76.722]</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA:</u></p> <ul style="list-style-type: none"> <li>▪ How are projects expected to report data to the State?</li> <li>▪ What guidance and technical assistance has the State provided to ensure consistent, reliable data collection from projects?</li> </ul> <p><u>LEA:</u></p> <ul style="list-style-type: none"> <li>▪ What are the data collection requirements of the State?</li> <li>▪ What support does the State provide to help projects collect the data?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ State rules, written policy, or guidance about assessment requirements for local projects</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff discusses how data is collected from local projects</li> <li>▪ Staff discusses which assessments are required of local projects</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Evidence of assessment results</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff discusses data collection requirements of the SEA</li> <li>▪ Staff discusses how data is collected and reported to the SEA.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>1.7: The SEA ensures compliance with all Even Start program requirements. 34 CFR §§ 76.700, 76.701, 76.722, 76.730, 76.731, 76.770, and §80.40</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p>SEA:</p> <ul style="list-style-type: none"> <li>▪ How does the SEA ensure compliance with Even Start requirements?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Compliance monitoring plan and procedures</li> <li>▪ Recordkeeping procedures and guidance</li> <li>▪ Reporting requirements and guidance</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff is knowledgeable about how the SEA administers or supervises the administration of Even Start</li> <li>▪ Staff discusses how the SEA ensures compliance with program requirements.</li> <li>▪ Staff evidences understanding of statutory local program requirements (including uses of funds, participant eligibility, and required program elements), monitoring requirements, State monitoring procedures, and State indicators of program quality</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Records of subgrant funds, how the project uses those funds, match, and total project cost.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff discusses and is knowledgeable about the State monitoring plan and requirements.</li> <li>▪ Staff discusses and is knowledgeable about recordkeeping requirements.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Program Support**

<b>2.1: The SEA uses funds to provide technical assistance to local projects to improve the quality of Even Start family literacy services and comply with State indicators of program quality. §1233, and §1234 of the statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<u>SEA</u> <ul style="list-style-type: none"> <li>▪ Describe the State’s plan for providing technical assistance to local projects.</li> <li>▪ How do you determine the training needs of each of your projects?</li> </ul> <u>LEA</u> <ul style="list-style-type: none"> <li>▪ How are you informed about technical assistance and training opportunities?</li> </ul>	<u>Documentation:</u> <ul style="list-style-type: none"> <li>▪ Record of subgrant, contract, or cooperative agreement, if used</li> <li>▪ Record of allocation of funds for technical assistance</li> <li>▪ Description and summary of technical assistance</li> </ul> <u>Interview:</u> <ul style="list-style-type: none"> <li>▪ Staff evidences knowledge of the specific training needs of local Even Start programs.</li> </ul>	<u>Documentation:</u> <ul style="list-style-type: none"> <li>▪ Certificates of attendance/completion</li> </ul> <u>Interview:</u> <ul style="list-style-type: none"> <li>▪ Project staff describes technical assistance provided by the State, including whether the training was beneficial and whether the training met their needs.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>2.2: Each program assisted shall include the identification and recruitment of eligible families. §1235 and §1236 of the statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<u>LEA</u> <ul style="list-style-type: none"> <li>▪ How do you determine a family's eligibility for your program?</li> </ul>	<ul style="list-style-type: none"> <li>▪ N/A</li> </ul>	<u>Documentation:</u> <ul style="list-style-type: none"> <li>▪ List of families in program with documentation of how each meets the eligibility criteria specified in Sec. 1236 of the statute.</li> </ul> <u>Interview:</u> <ul style="list-style-type: none"> <li>▪ Project staff can describe the Federal eligibility requirements and how the project ensures that all participating families meet those requirements.</li> <li>▪ Project staff can describe how their project determines whether participating families are low-income and in need of literacy services.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start Standards, Assessments, and Accountability**

<b>2.3: Each program assisted shall implement all 15 program elements. §1235 of the statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><b>Element #1: Recruitment of Most in Need</b></p> <p>LEA</p> <ul style="list-style-type: none"> <li>▪ What do you understand the term “families most-in-need” to mean? (<i>Staff at all levels should be able to answer this</i>)</li> <li>▪ How does your project recruit families most in need?</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Criteria for determining which eligible families are most-in-need</li> <li>▪ Documentation of how participating families meet the most-in-need criteria</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff discusses how their project recruits those families most-in-need.</li> </ul>
<p><b>Element #2: Screening and Preparation of Parents</b></p> <p>LEA</p> <ul style="list-style-type: none"> <li>▪ Once a family is identified as eligible to receive Even Start services, what are your screening procedures to determine the literacy achievement level of each family member?</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Participant intake forms</li> <li>▪ Pre-test data</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff describes how they determine the literacy needs of new families.</li> <li>▪ Project staff describes how participating families are prepared to become full participants in the program.</li> </ul>
<p><b>Element #3: Accommodation and Support Services</b></p> <p>LEA</p> <ul style="list-style-type: none"> <li>▪ How does your project provide flexible services to meet the needs of participants?</li> <li>▪ How does your project work with other community organizations to offer support services?</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Record of program activities showing flexible times.</li> <li>▪ Evidence of support services offered to families.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff describes how they provide support services, flexible scheduling, and transportation if needed, to ensure that participants can attend regularly.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>2.3: Each program assisted shall implement all 15 program elements. §1235 of the statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><b>Element #4: Intensity of Instructional Services</b></p> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ How many hours of services are offered in each core area?</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Record of instructional programs offered, including number of hours offered in each core area.</li> <li>▪ Summary of content of adult literacy classes</li> <li>▪ Summary of content of parent support classes.</li> <li>▪ Summary of content of early childhood education classes and supplemental services for school-age children</li> <li>▪ Summary of content of interactive literacy activities for parents/children</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff describe how they track the number of hours offered in each instructional area, and how they ensure that instruction provided is of high-quality</li> </ul>
<p><b>Element #5: Qualified Personnel</b></p> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What are the personnel requirements for Even Start? Does your project meet those requirements?</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Record of highest academic level of achievement of instructional personnel</li> <li>▪ Record of highest academic level of achievement for all paraprofessionals</li> <li>▪ Copy of State requirements for instructional staff</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff explains plan for meeting the staff qualifications requirements for instructional staff and paraprofessionals.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>2.3: Each program assisted shall implement all 15 program elements. §1235 of the statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><b><u>Element #6: Staff Training</u></b></p> <p>LEA</p> <ul style="list-style-type: none"> <li>▪ Describe your professional development activities. What training did your own project provide? What training did the State provide?</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that program director has received training in the administration of family literacy services.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff describes the training provided to staff members in all instructional areas.</li> </ul>
<p><b><u>Element #7: Home-based Instruction</u></b></p> <p>LEA</p> <ul style="list-style-type: none"> <li>▪ Describe the home-based instructional services provided, including content, schedule, and who provides the services. Describe a typical visit.</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Copies of lesson plans for home-based instructional services</li> <li>▪ Records of what lessons have been implemented, dates of implementation, and the names of families who participated</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff explains the focus of home-based services and how projects use home-based services to integrate the core components of Even Start.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>2.3: Each program assisted shall implement all 15 program elements. §1235 of the statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><b><u>Element #8: Year-round Services</u></b></p> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ What is the schedule of services during the year, including summer and holidays?</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Record of program calendar</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff can describe whether the project closes for any periods during the year, or whether reduced services are offered during the holidays or summer months.</li> </ul>
<p><b><u>Element #9: Coordination</u></b></p> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ How do you coordinate with other programs, such as Title I, Part A?</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Record of program coordination</li> <li>▪ Record of cooperative agreements</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff describes how they are coordinating project activities with other programs.</li> </ul>
<p><b><u>Element #10: Attendance/Retention</u></b></p> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ Please describe your attendance policies.</li> </ul>	N/A	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Written attendance policy</li> <li>▪ Record of attendance rates for program activities.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff can describe the project's retention efforts.</li> <li>▪ Project staff can describe what happens when a participant fails to attend regularly.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Standards, Assessments, and Accountability**

<b>2.3: Each program assisted shall implement all 15 program elements. §1235 of the statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><b><u>Element #11: Continuity/Transition</u></b></p> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ When families exit the project what kind of debriefing or exit activities occur?</li> </ul>	<p>N/A</p>	<p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff can describe how they are assisting adult participants to transition into employment or higher education.</li> <li>▪ Project staff can describe how they ensure that children can transition into other educational programs.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Program Support**

<b>2.4: The SEA ensures that all families receiving services participate in all four core instructional services. §1235 and §9101 of the statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How do you ensure that projects are holding families accountable for participating in all four areas?</li> </ul> <p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ How does the State enforce the requirement that families participate in all four areas?</li> <li>▪ How does your project enforce this requirement?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ RFP asks applicants to describe how the project will deliver services in all four core instructional areas</li> <li>▪ Monitoring process includes review of participation data</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff can describe how the SEA ensures that local projects are holding participants accountable for participating in all four areas.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Record of participation rates in each core instructional area</li> <li>▪ A member of each family is participating in activities in each of the four core instructional areas</li> <li>▪ Policy for removing families with incomplete participation</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Project staff can describe their strategy to ensure participation in all four areas.</li> <li>▪ Project staff can describe the consequences for participants who do not participate in all areas.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Program Support**

<b>2.5: The local programs shall use high-quality instructional programs based on scientifically based reading research for children and adults. §1208, §1232, §1235 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>LEA</u></p> <ul style="list-style-type: none"> <li>▪ Describe the research-based foundation or concept of the instructional programs you use.</li> </ul> <p><i>See page 21 of the Even Start guidance for further description of SBRR-based instructional programs.</i></p>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Evidence of State training and technical assistance to projects about scientifically based reading research techniques and resources (ie, training agendas, guidance, communications), for adults and children (including preschool age children).</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Evidence of the scientific research that supports instructional programs</li> <li>▪ Evidence that project uses the applicable statutory definition of scientifically based reading research (Section 1208, ESEA)</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Interview with local staff reflects selection and understanding of instructional strategies, for children and adults, based on scientific research</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Fiduciary**

<b>3.1: The SEA complies with the allocation requirements for State administration and technical assistance, and award of subgrants. §1233 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<u>SEA</u> <ul style="list-style-type: none"> <li>▪ How do you determine how the allocation for technical assistance will be spent?</li> </ul>	<u>Documentation:</u> <ul style="list-style-type: none"> <li>▪ Record of allocations for State administration and technical assistance that are within statutory maximums</li> <li>▪ Record of subgrant amounts</li> <li>▪ Technical assistance contracts, subgrants, or cooperative agreements</li> <li>▪ Complete, current, written allocation procedures</li> <li>▪ Record of any reallocation and carryover activity</li> </ul> <u>Interview:</u> <ul style="list-style-type: none"> <li>▪ Staff demonstrate understanding of allocation requirements, State administration, technical assistance, and subgrant award amounts</li> </ul>	

**Monitoring Indicators for Title I, Part B: Even Start  
Fiduciary**

**3.2: The SEA ensures that subgrantees comply with statutory and regulatory requirements on uses of funds and matching.** § 1234; 34 CFR §§74.23, 76.530, 76.533, and §80.24 of the ESEA

<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How do you ensure that local projects are meeting matching requirements?</li> <li>▪ How do you ensure that local projects are not using funds for unallowable costs, such as indirect costs or construction?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Guidance provided to projects</li> <li>▪ Record of subgrant amounts (see 3.1), funded year of each subgrant, and total annual matching contributions for each subgrant</li> <li>▪ Record of any SEA waivers of matching cost requirement</li> <li>▪ Evidence preventing conflict of interest issues (i.e. contract award policies, evidence of how contractors were selected)</li> <li>▪ Reports submitted by local projects on expenditures and matching funds.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff evidence understanding of matching requirement and minimum subgrant size</li> <li>▪ Staff evidence understanding of unallowable project costs, such as indirect costs and construction</li> <li>▪ Staff evidence understanding of Federal and State conflict of interest policies</li> </ul>	

**Monitoring Indicators for Title I, Part B: Even Start  
Fiduciary**

<b>3.3: The SEA complies with the crosscutting maintenance of effort provisions. § 9521 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How do you ensure compliance with Maintenance of Effort (MOE)?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Maintenance of effort report comparing fiscal effort per student for eligible entity LEA-partners in preceding year to second preceding year</li> <li>▪ Evidence of reduction in subgrant award for any LEA that failed to maintain effort, or copy of waiver from SEA</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff evidences understanding of funds to be included and excluded when determining maintenance of effort</li> <li>▪ Staff understands an LEA’s Even Start subgrant must be reduced by the percentage short of 90%</li> <li>▪ Staff understands maintenance of effort can be determined by using fiscal effort per student or aggregate expenditures</li> </ul>	

**Monitoring Indicators for Title I, Part B: Even Start  
Fiduciary**

<b>3.4: The SEA ensures that grantees comply with requirements with regard to services to eligible private school children, their teachers and their families. §§ 9501-9506 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ How do you ensure that local projects consult with the appropriate private school officials about providing Even Start services to eligible students? <i>(Note: Eligible students are school-age children enrolled in private schools who receive Title I services.)</i></li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ SEA policies and procedures for providing services to Even Start-eligible elementary and secondary school students attending non-public schools.</li> <li>▪ Guidance to Even Start subgrantees on provision of services to eligible non-public school students</li> <li>▪ SEA complaint procedures for non-public schools</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff evidence understanding of budgeting, allocation of funds for eligible private school students</li> <li>▪ Staff demonstrate correct understanding of consultation regarding equitable services</li> <li>▪ Staff interview representations of the non-public school community in the area served by the local Even Start project.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Evidence of subgrantee consultation with non-public schools, and copies of subgrantee budgets that document appropriate set-asides</li> <li>▪ Staff demonstrate correct understanding of consultation regarding equitable services</li> <li>▪ Agendas or minutes of meetings held with non-public school officials.</li> </ul>

**Monitoring Indicators for Title I, Part B: Even Start  
Fiduciary**

<b>3.5: The SEA has a system for ensuring fair and prompt resolution of complaints and appropriate hearing procedures. §§76.401, 76.770, and 76.783 of EDGAR of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<p><u>SEA</u></p> <ul style="list-style-type: none"> <li>▪ Please describe the complaint resolution and hearing procedures you have in place.</li> <li>▪ Describe a complaint you have received and how the situation was resolved.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Written State complaint policy and procedures for disapproval of subgrant applications, non-continuation of subgrants, audit findings ordering the repayment of funds, termination of assistance, and resolving other complaints</li> <li>▪ State hearing procedures</li> <li>▪ Procedures for tracking complaint process</li> <li>▪ Evidence that complaints are addressed, investigated and resolved in a timely manner and by appropriate hearings as required</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ Staff evidences an awareness of Even Start hearing requirements</li> <li>▪ Staff demonstrates understanding of complaint policies and procedures</li> <li>▪ Staff discusses guidance provided to Even Start applicants and subgrantees regarding complaint policies and procedures</li> </ul>	

**McKinney-Vento Homeless Education Programs  
Standards, Assessment and Accountability**

<b>1.1: The SEA collects and reports to ED assessment data from LEAs on the educational needs of homeless children and youth. § 722 of the Title X statute</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ How does the SEA ensure that homeless students are included in statewide assessments?</li> <li>▪ How does the SEA inform LEAs with and without subgrants about data collection responsibilities, and ensure timely reports?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ SEA describes procedure for data collection from LEAs with and without subgrants to include:</li> <li>▪ Examples of data collection requirements and how SEA determines if data are accurate</li> <li>▪ SEA describes how it determines if LEAs include homeless students in statewide assessments</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ SEA describes how it reviews LEA data and reports on homeless students, including how it ensures accuracy of data.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Evidence the LEA collects information on homeless children and youth, including their places of residence.</li> <li>▪ Evidence LEA ensures that homeless students are included in statewide assessments.</li> <li>▪ Evidence that the LEA with a subgrant provides the SEA academic achievement data for homeless students.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ LEA describes how it collects local data and transmits information requested on homeless students to the SEA.</li> <li>▪ Describe how the LEA determines if homeless students are being included in statewide assessments.</li> </ul>

**McKinney-Vento Homeless Education Programs  
Instructional Support**

**2.1: The SEA implements procedures to address the identification, enrollment and retention of homeless students.** Title X, 722 of the TitleX statute

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<ul style="list-style-type: none"> <li>▪ How and from what sources does the State collect information to determine the ongoing needs of homeless students in the State?</li> <li>▪ Since the State submitted its 2002 application, has it developed, reviewed, and revised policies, or issued policy briefs or memoranda to ensure removal of barriers for homeless students? Examples?</li> <li>▪ How does the State Coordinator ensure that LEAs comply with McKinney-Vento?</li> </ul>	<p>Documentation:</p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA implements procedures that address the problems homeless children and youth face in school enrollment and retention.</li> <li>▪ Evidence that the SEA coordinates programs and services between the SEA, the State social services agency, and other agencies (including agencies providing mental health services) to assist in the identification, enrollment and retention of homeless students.</li> <li>▪ Evidence that the SEA implements procedures to ensure that:               <ul style="list-style-type: none"> <li>• homeless children have equal access to public preschool programs;</li> <li>• homeless youth are identified and provided equal access to secondary schools and services;</li> <li>• homeless children and youth participate in before- and after-school programs.</li> <li>• homeless children and youth remain their school of origin</li> <li>• Parents and homeless family serving agencies are contacted to ensure the needs of homeless children and youth are being met.</li> </ul> </li> </ul> <p>Interview</p> <ul style="list-style-type: none"> <li>• SEA describes how it coordinates activities on behalf of homeless students with other agencies and service providers, including surveying if homeless students and parents needs are being met.</li> <li>• SEA describes activities to determine if parent/youth options for student enrollment are provided by LEAs.</li> <li>• SEA describes its activities and procedures on behalf of homeless preschool children and out of school youth.</li> <li>• SEA describes how it ensure that LEAs comply with the McKinney-Vento requirement of providing transportation to the school of origin.</li> </ul>	<p>Documentation:</p> <ul style="list-style-type: none"> <li>▪ Evidence that the LEA coordinates programs and services between the LEA, and other agencies to assist in the identification, enrollment and retention of homeless students.</li> </ul> <p>Interview:</p> <ul style="list-style-type: none"> <li>▪ Describe the liaison’s community outreach and collaboration activities with service providers for homeless families and youth.</li> <li>▪ How does the LEA ensure homeless students are enrolled and assisted with basic school requirements (e.g., records transfer, health and immunization records, residency)?</li> <li>▪ LEA describes how it ensures that children remain in their school of origin when feasible.</li> </ul>

**McKinney-Vento Homeless Education Program  
Instructional Support**

<b>2.2: SEA provides, or provides for, technical assistance for LEAs to ensure appropriate implementation of the statute. § 722 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ What ongoing professional development activities does the State Coordinator provide to funded and unfunded LEAs about the requirements of McKinney-Vento?</li> <li>▪ How often does the SEA monitor changes in staffing of LEA liaisons? How does the SEA assist new liaisons with learning their responsibilities for implementing McKinney-Vento?</li> </ul>	<p>Documentation:</p> <ul style="list-style-type: none"> <li>• Evidence that the SEA provides technical assistance to LEAs on LEA requirements under the statute including:               <ul style="list-style-type: none"> <li>○ information dissemination</li> <li>○ outreach</li> <li>○ coordination</li> <li>○ professional development</li> </ul> </li> <li>• Evidence the SEA provides State-level technical assistance activities to agencies, service providers and advocates for homeless children and youth</li> </ul> <p>Interview:</p> <ul style="list-style-type: none"> <li>• SEA discusses technical assistance and guidance to LEAs, including professional development coordination and collaboration efforts with existing and new LEA homeless liaisons and responses to technical assistance requests.</li> </ul>	<p>Documentation:</p> <ul style="list-style-type: none"> <li>• Evidence that the LEA reviews and revises policies and practices to ensure they do not act as barriers to enrolling homeless students, including:               <ul style="list-style-type: none"> <li>○ public notices of rights                   <ul style="list-style-type: none"> <li>○ letters, memoranda to assist enrollment</li> <li>○ timeline-waivers for producing medical, school and other records</li> <li>○ waivers for uniform fees</li> </ul> </li> </ul> </li> <li>• Evidence that the LEA designates a liaison for homeless children and youth.</li> <li>• Evidence LEA liaison assists unaccompanied youth with school placement decisions.</li> <li>• Evidence that the LEA ensures that transportation to the school of origin is provided.</li> <li>• Evidence the LEA provides written notification to parents and youth regarding placement decisions.</li> <li>• Evidence that local school and school district personnel receive appropriate information and technical assistance on the educational rights and needs of homeless students.</li> </ul> <p>Interview</p> <ul style="list-style-type: none"> <li>• LEA describes how it provides comparable and coordinated services.</li> </ul>

**McKinney-Vento Homeless Education Program  
Fiduciary**

<b>3.1: The SEA ensures that LEAs subgrant plans for services to eligible homeless students meet all requirements. §722 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ Describe the steps the State takes to organize a subgrant competition? How are reviewers chosen and trained?</li> <li>▪ How does the SEA review grants for quality of application as well as local need?</li> <li>▪ Does the SEA review grants to determine if there are academic achievement outcomes for students [e.g., measures of accountability]?</li> <li>▪ How does the SEA ensure subgrant funds are awarded in a timely manner and available throughout the grant period?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Evidence the SEA has an application and approval process to provide competitive subgrants to LEAs.</li> <li>▪ Evidence that LEA subgrant applications are reviewed and awarded on a competitive basis <b>for both need <u>and</u> quality.</b></li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff discusses its review process and timelines for disbursement of subgrant funds.</li> <li>▪ The SEA describes its process for notifying LEAs, receiving applications, awarding grant funds, and timelines for disbursement of subgrants.</li> <li>▪ SEA describes how it reviews fiscal accountability of subgrantees.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Evidence the LEA application/ plan includes assessment of the needs of homeless students and the supplemental services provided.</li> <li>▪ Evidence that the subgrant expands or improves services provided as part of regular academic program.</li> </ul> <p><u>Interview:</u></p> <ul style="list-style-type: none"> <li>▪ The LEA describes the needs of homeless students in the district and the supplemental services provided with subgrant funds.</li> <li>▪ The LEA describes uses of funds to provide supplementary services for homeless students.</li> </ul>

**McKinney-Vento Homeless Education Program  
Fiduciary**

<b>3.2: The SEA ensures that the LEA complies with providing comparable Title I, Part A services to homeless students attending non-Title I schools. §1113 and §1112 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ What process does the SEA use to assist LEAs in determining the amount of Part A funds to reserve for homeless students?</li>   <li>▪ What process does the LEA use to reserve funds? Is the reservation coordinated with both the liaison and with the Title I Office?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA ensures that LEAs reserve funds to provide comparable Title I, Part A services.</li>   <li>▪ Evidence that SEA ensures coordination of Title I with McKinney-Vento program for purposes of the required reservation.</li>   <li>▪ Evidence that SEA is knowledgeable of the reservations made by local districts for Title I purposes.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA staff discusses guidance for LEA reservation of funds.</li>   <li>▪ SEA staff discusses its review of LEA Title I plans to ensure coordination with McKinney-Vento.</li>   <li>▪ SEA staff discuss the review process for local Title I reservations.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the LEA reserves funds necessary to provide comparable services to homeless students attending non-Title I schools.</li>   <li>▪ Evidence that the LEA Title I office collaborates with the homeless liaison on the uses of the Title I reservation.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA describes the provision of comparable services for homeless students attending Title I and non-Title I schools.</li> </ul>

**McKinney-Vento Homeless Education Program  
Fiduciary**

<b>3.3: The SEA has a system for ensuring the prompt resolution of disputes. §722 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ How does the State Coordinator ensure liaisons are aware of the State’s dispute resolution policy and that the LEA has adopted or adapted the policy?</li> <li>▪ What is the State’s process to review or investigate disputes brought by parents/youths?</li> <li>▪ Do all districts have a written district dispute resolution process?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence SEA has an updated dispute resolution policy and procedures to include: procedures for tracking disputes documents indicating that dispute procedures have been implemented</li> <li>▪ Evidence that disputes are addressed, investigated and resolved in a timely manner</li> <li>▪ Evidence that SEA tracks whether LEAs have a dispute resolution policy in place.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA discusses guidance and technical assistance to LEAs for the prompt resolution of disputes.</li> <li>▪ SEA describes dispute resolution investigations and resolutions.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence LEA has and implements a process for the prompt resolution of disputes.</li> <li>▪ Evidence that parent or unaccompanied youth disputes are investigated and resolved in a timely manner</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff demonstrates understanding of dispute resolution policies and procedures.</li> <li>▪ Staff describe how they assist families and youth with the dispute resolution process</li> </ul>

**McKinney-Vento Homeless Education Program  
Fiduciary**

**3.4: The SEA conducts monitoring of LEAs with and without subgrants, sufficient to ensure compliance with McKinney-Vento program requirements. § 722 of the ESEA**

<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ What is the SEA schedule for conducting monitoring and compliance activities for the McKinney-Vento program?</li> <li>▪ Describe the SEA monitoring process for LEAs with and without subgrants.</li> <li>▪ How does the SEA ensure that subgrant funds are being used for their intended purposes?</li> <li>▪ For LEAs with subgrants, does the SEA require LEAs to conduct a program evaluation to determine the effectiveness of the program?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Written procedure for monitoring LEAs with and without subgrants to include:               <ul style="list-style-type: none"> <li>➢ Copies of reports, recommendations, actions monitoring policies and procedures, schedules for monitoring sample of letters to LEAs, checklists, forms examples of fiduciary monitoring of LEAs with subgrants</li> </ul> </li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA describes its LEA monitoring and compliance process for McKinney-Vento - including on-site procedures.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence the LEA provides the SEA requested information on enrollment and services for homeless children and youth.</li> <li>▪ Evidence LEA ensures that homeless students receive support services in compliance with McKinney-Vento.</li> <li>▪ LEAs with subgrants provide budget information for services provided to homeless students.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ LEA describes SEA monitoring process and any compliance issues, or recommendations for program improvements.</li> </ul>

**Title I, Part D Neglected and Delinquent  
Standards, Assessment and Accountability**

<b>1.1: The SEA has implemented all required components as identified in its Title I, Part D (N/D) plan. §1414 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable SA/LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ What are the SEA’s goals and objectives for the Title 1, Part D Program?</li> <li>▪ How does the SEA ensure that students in N/D programs receive instruction that is aligned with State standards and accountability?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA has developed and implemented a plan that includes program goals, objectives and performance measures used to assess the effectiveness of the N/D program.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SEA describes its plan and how it is used to guide the N/D program.</li> </ul>	

**Monitoring Indicators for Title I, Part D  
Standards, Assessment and Accountability**

<b>1.2: The SEA ensures that State Agency (SA) plans for services to eligible N/D students meet all requirements. § 1412; and §1414 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ How does the SEA inform SAs about application requirements for an N/D subgrant?</li> <li>▪ What is the SEA plan for evaluating how SA plans are implemented?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA provides guidance to SAs on developing or revising Subpart 1 applications and plans.</li> <li>▪ Evidence that the SEA has a written review process for awarding Part 1 subgrants to State Agencies (SA).</li> <li>▪ SEA provides evidence that SA Subpart 1 programs demonstrate that the programs address the intent and purposes of the N/D program.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SEA describes guidance it provides the SA on developing or revising its N/D plan.</li> <li>▪ The SEA describes the SA application and selection process for Subpart 1.</li> <li>▪ The SEA describes how it reviews and evaluates the Subpart 1 plans.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ SA plans contains the 19 required elements - including procedures, assurances, and descriptions of services.</li> <li>▪ Evidence that the SAs N/D program is supplemental to the required instructional program.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SA describes the 19 required elements in its plan.</li> <li>▪ The SA describes the overall school program including length of school day.</li> <li>▪ SA describes hours of school program.</li> <li>▪ SA describes maintenance of effort</li> </ul>

**Monitoring Indicators for Title I, Part D  
Standards, Assessment and Accountability**

**1.3: The SEA ensures that Local Education Agency (LEA) plans for services to eligible N/D students meet all requirements.**  
§1423 and §1425 of the ESEA

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<ul style="list-style-type: none"> <li>▪ How do you inform LEA's about the application requirements for an N/D subgrant?</li> <li>▪ What criteria does the SEA use to determine Subpart 2 programs with "high numbers"?</li> <li>▪ What information or guidance does the LEA receive from the SEA about conducting N/D programs?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA provides guidance to LEAs on developing or revising Subpart 2 applications and plans.</li> <li>▪ Evidence that the SEA has a written review process to award Part 2 subgrants to LEAs.</li> <li>▪ SEA provides evidence that LEA Subpart 2 programs demonstrate that the programs address the intent and purposes of the N/D program.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SEA describes guidance it provides the LEA on developing or revising its N/D plan</li> <li>▪ SEA describes the LEA application and selection process for Subpart 2.</li> <li>▪ SEA discusses application and review process for LEA subpart 2 funding, including eligibility determination based on 'high numbers or percentages'.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ LEA plan contains the 13 required elements - including procedures, assurances, and descriptions of services.</li> <li>▪ Evidence that the N/D educational program in the local facility or institution is comparable to the one the LEA operates in the school that such youth would otherwise attend</li> <li>▪ Evidence that agreements between LEAs and correctional facilities provide the 11 required activities.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>• LEA articulates how N/D program in the local facility or institution uses Subpart 2 supplemental funds to carry out activities, procedures, and policies that are stated in the plan submitted to the SEA.</li> </ul>

**Monitoring Indicators for Title I, Part D  
Instructional Support**

<b>2.1: The SEA ensures that institution wide programs developed by the SA under Subpart 1 use the flexibility provided to them by law to improve the academic achievement of all students in the school. § 1416 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable SA Evidence</b>
<ul style="list-style-type: none"> <li>▪ Do any Subpart 1 institutions conduct institution-wide programs?</li> <li>▪ Do institution-wide programs conduct a comprehensive needs assessment across all Federal program services?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SEA provides guidance to SAs on the intent and purpose of institution-wide programs and program requirements.</li> <li>▪ Evidence that the SEA provides guidance to SAs on developing or revising institution-wide program plans.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SEA describes its process for guidance, applications, approvals and reviews for institution-wide projects.</li> <li>• SEA demonstrates knowledge about the process of combining funds in institution wide programs.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ The SA institution-wide plans include the 8 required provisions, descriptions and assurances.</li> <li>▪ The SA ensures that institution-wide programs maintain records that demonstrate that the program addresses the intent and purposes of the programs consolidated to support it.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SA describes the institution-wide program and how it serves the needs of all students.</li> </ul>

**Monitoring Indicators for Title I, Part D  
Fiduciary**

<b>3.1: The SEA ensures each State agency has reserved not less than 15 percent and not more than 30 percent of the amount it receives under Subpart 1 for transition services. §1414 and §1418 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable SA Evidence</b>
<ul style="list-style-type: none"> <li>▪ What guidance does the SEA provide about the requirement to reserve funds for transitioning from the institution?</li>   <li>▪ How does the SEA ensure that 15-30% of funds are reserved and used for transition activities as described in the statute?</li>   <li>▪ For what transition-related activities are transition funds used?</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence of guidance or notification sent to SAs outlining requirements for reserving funds for transition services under Subpart 1.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ SEA describes information and assistance provided to SAs on reservation requirements for transition services including: successful reentry; pre-placement programs; worksite programs; and other post-institution support services.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SA reserves the appropriate amount of funds as required for transition services.</li>   <li>▪ Evidence that transition services are included in the SA N/D application.</li>   <li>▪ Evidence the SA provides transition services.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ Staff responsible for transition describe the transition plan and transition services provided to students in the N/D program.</li> </ul>

**Monitoring Indicators for Title I, Part D  
Fiduciary**

<b>3.2: The SEA conducts monitoring of its subgrantees sufficient to ensure compliance with Title I, Part D program requirements. §1426 and §1431 of the ESEA</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable SA/LEA Evidence</b>
<ul style="list-style-type: none"> <li>▪ Describe the SEA process for monitoring Subpart 1 and 2 programs. Describe schedules and reporting requirements.</li> <li>▪ Describe the data collection process the SEA uses to obtain information on all Subpart 1 and 2 programs.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence the SEA monitors Subpart 1 and Subpart 2 programs, including:               <ul style="list-style-type: none"> <li>➢ established cycle of monitoring</li> <li>➢ copies of reports, corrective actions</li> <li>➢ monitoring policies and procedures</li> <li>➢ sample of letters, checklists, forms, etc.</li> <li>➢ to SAs, LEAs,</li> </ul> </li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SEA discusses monitoring process for Subparts 1 and Subpart 2 programs.</li> <li>▪ The SEA discusses process for reviewing LEA N/D student outcomes and where necessary, identifying LEAs and institutions for reducing or terminating Subpart 2 funding.</li> </ul>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SA evaluates its N/D program to determine the program’s impact on students.</li> <li>▪ Evidence that the LEA evaluates its N/D program to determine the program’s impact on students.</li> <li>▪ Evidence that the SA assesses the academic progress of students in correctional institutions or facilities.</li> <li>▪ Evidence that the LEA assesses the academic progress of students in correctional institutions or facilities.</li> </ul> <p><u>Interview</u></p> <ul style="list-style-type: none"> <li>▪ The SA and LEA discuss how it measures and reviews student progress in order to determine the impact of the N/D program.</li> </ul>

## Appendix

### State Monitoring for Title I – 2006-2009

Year One – 2006-2007		Year Two – 2007-2008		Year Three – 2008-2009	
State	Prior Onsite Week	State	Prior Onsite Week	State	Prior Onsite Week
Missouri*	12/8/03	New Mexico+	12/13/04	Utah^	12/12/05
Connecticut*	12/8/03	Texas+	1/10/05	Kansas^	1/9/06
New Jersey*	2/23/04	Colorado+	1/24/05	New York^	1/9/06
Rhode Island*	2/23/04	Pennsylvania+	2/7/05	Kentucky^	1/23/06
Massachusetts*	3/22/05	Idaho+	3/14/05	DCPS^	2/27/06
South Dakota*	3/22/04	Maryland+	3/14//05	Oregon^	2/27/06
Nebraska*	4/1/04	Illinois+	4/4/05	New Hampshire^	3/6/06
Maine*	5/4/04	Alabama+	4/18/05	Georgia^	3/20/06
Iowa*	5/18/04	Arizona+	4/25/05	Arkansas^	3/27/06
Montana*	5/24/04	Wisconsin+	5/2/05	West Virginia^	4/3/06
Michigan*	6/7/05	North Dakota+	5/16/05	Hawaii^	4/17/06
Ohio*	6/22/04	Florida+	5/24/05	Alaska^	5/15/06
Minnesota*	8/9/04	North Carolina+	6/13/05	Tennessee^	5/22/06
California*	9/20/04	Virginia+	9/12/05	Wyoming^	6/5/06
Nevada+	10/25/04	BIA+	9/12/05	South Carolina^	6/12/06
Indiana+	11/9/04	Delaware^	10/3/05	Louisiana^	8/7/06
Washington+	11/15/04	Oklahoma^	10/24/05	Mississippi^	9/11/06
		Vermont^	11/28/05	Puerto Rico^	9/11/06

\* - States monitored in the 2003-2004 cycle

^ - States monitored in the 2005-2006 cycle

+ - States monitored in the 2004-2005 cycle