

**Arkansas Federal Programs
Programmatic and Financial Monitoring
Process and Procedures
2020-2021**



Introduction

This Federal Programs Programmatic and Fiscal Monitoring Guide was developed to provide a comprehensive review of the federal programs monitoring process and tools across federal granting authorities. The purpose of this tool is to provide uniform guidance for subrecipient monitoring. It is intended to be used by the Division of Elementary and Secondary Education (DESE) to make determinations about whether or not grant purposes are being met, to identify issues prior to an LEA audit and to provide clarification of program requirements and expectations. Not all federal programs or items are applicable to all recipients.

Monitoring is the regular and systematic examination of a state's administration and implementation of a federal education grant, contract, or cooperative agreement. Monitoring the use of federal funds, in accordance with 2 C.F.R. §200.500, assures compliance with applicable federal requirements and ensures that all children have an equitable opportunity to obtain a high-quality education. The monitoring process is designed to assess the degree to which program requirements are being fulfilled.

Tiered Monitoring Process and Procedures

Districts will be identified to participate in DESE's monitoring process based on relative programmatic and/or fiscal risk(s). DESE's monitoring process will leverage a collaborative, cross-program approach to provide support to districts. These supports will be designed to integrate programmatic and fiscal data to address areas in need of improvement. The monitoring process is designed to assess the degree to which program requirements are being fulfilled so the DESE can make recommendations when appropriate. In addition, it provides an opportunity for the DESE to provide technical assistance and guidance to LEAs in order to strengthen their program administration and improve the quality of programs and projects being implemented. As a pass-through agency for federal funds, DESE is required to conduct compliance reviews to ensure that subgrants of federal program funds to LEAs are used in accordance with the purposes of the authorizing statute (2 C.F.R. § 200.331). The DESE will complete a yearly risk analysis for each LEA to determine their level of risk. LEAs will have an opportunity to receive guidance and technical assistance through the tiered monitoring process. From this process, the LEA will be informed of the grant status by notice of substantial compliance, request for clarification of information, or additional data as needed for review.

Tier 1 - Desk Monitoring Process

Desk monitoring begins an annual review of federal grant applications, including budgets, for each of the federally funded educational entitlement programs. LEAs submit grant applications and accompanying documents to the DESE through Indistar. Based on this desk monitoring, LEAs will be notified when a grant application is substantially compliant or a request will be made to the LEA for additional information. This request will be made in order to achieve clarifying information regarding portions of the application or budget and to reveal the possibility of a potential area of non-compliance. LEAs will have an opportunity to receive guidance and technical assistance.

Tier 2 - Request Additional Information

The LEA will be notified of content within the program description and/or budgets which do not meet the necessary standards to achieve substantial compliance. The LEA will be asked to address the items and submit the necessary additional information. These newly submitted documents will once again be desk monitored in an effort to ascertain the LEA's compliance status. It is recognized, and expected, that the LEA may require technical assistance.

Tier 3 - Deeper Dive into Data or Evidence

In the event that a deeper dive becomes necessary, the LEA will be notified in writing of the specific circumstances and the recommended remedies required to move the grant to a point of substantial compliance. This may require the submission of additional documentation from the LEA, more intensive technical assistance, a site visit by DESE staff, or other remedies determined in consultation with the LEA.

Tier 4 - On-Site or Virtual Monitoring Process

An onsite or virtual monitoring of an LEA can occur based on:

1. Identified Risks - An assessment will be conducted annually to identify LEAs with higher risk factors;
2. Difficulty resolving issues during desk monitoring;
3. A request from the Superintendent or Commissioner of DESE; or
4. Through a random sampling of at least twenty-five (25) districts not identified as high risk.

Procedures for On-Site or Virtual Review:

1. **Entrance Conference:** An entrance conference (virtually or in person) is held with the superintendent and other district personnel. The meeting acquaints LEA staff with the DESE team and provides an opportunity to familiarize district staff with the purpose and goals of the visit.
2. **Review:** Interviews with appropriate program personnel or staff members and a review of additional documentation gathered is conducted on-site or virtually. This may also include interviews with non-public school staff, multi-district consortium members and parents and/or other stakeholders if issues are noted during the site visit that warrant further investigation. The DESE Monitoring Team will utilize the monitoring indicators to interview the LEA during the on-site monitoring review.
3. **Exit Conference:** The monitoring team will hold an exit conference (virtually or in person) with the superintendent and other district personnel. The DESE monitoring team will summarize the monitoring activities, the potential findings and the timeline for developing the monitoring report.
4. **Monitoring Report:** Within ten (10) business days of the exit conference, the monitoring report will be issued to the superintendent. The LEA will have ten (10) business days to complete and submit the necessary documentation listed in the corrective actions. Documentation/evidence received from the LEA during this time will be reviewed for compliance. If all documentation is deemed complete and compliant, a final compliance letter will be issued within thirty (30) business days of the exit conference. DESE reserves the right to alter the timeline to fully collect necessary data. The LEA will be notified if an extended timeline is required.
5. An LEA that does not respond to the report within the established timeline or fails to comply, the Federal awarding agency or pass-through entity may take one or more of the following actions, as appropriate in the circumstances (2 C.F.R. § 200.338 Remedies for Non-compliance):
 - a. Temporarily withhold cash payments pending correction of the deficiency by the non-Federal entity or more severe enforcement action by the Federal awarding agency or pass-through entity;
 - b. Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance;

- c. Wholly or partly suspend or terminate the Federal award;
- d. Initiate suspension or debarment proceedings as authorized under 2 C.F.R. §180 et seq. and Federal awarding agency regulations (or in the case of a pass-through entity, recommend such a proceeding be initiated by a Federal awarding agency);
- e. Withhold further Federal awards for the project or program; or
- f. Take other remedies that may be legally available which may include a designated level of fiscal distress.

Upon taking any remedy for non-compliance, the Federal awarding agency must provide the non-Federal entity an opportunity to object and provide information and documentation challenging the suspension or termination action, in accordance with written processes and procedures published by the Federal awarding agency. The Federal awarding agency or pass-through entity must comply with any requirements for hearings, appeals or other administrative proceedings to which the non-Federal entity is entitled under any statute or regulation applicable to the action involved. (2 C.F.R. § 200.341 Opportunities to object, hearings and appeals)

Risk Assessment

A risk assessment will be completed annually to assist DESE in identifying districts which may be at risk of not being in compliance with state or federal laws or requirements. Evidence for the risk assessment will be collected throughout the school year and scores updated to reflect new information. All LEAs earning 50 points or more on the risk assessment will be considered high risk for an onsite monitoring.

Risk Criteria	Value	Points Earned
District had a private audit or had an audit finding in previous year	30	
District has 40% or more students in need of support in reading in previous state assessment	20	
District or school has a Probation or Citation during previous year	20	
District is identified as high risk by any DESE unit or division	20	
District has been identified as fiscal distress or early intervention	15	
District or school has been late in submitting a budget or required report	10	
District had expired federal funds during previous year	10	
District has a new bookkeeper	10	
District has a new superintendent	10	
District has not participated in an onsite monitoring in the last five (5) years	5	
TOTAL POINTS	150	

I. Grant Descriptions

Title I, Part A - Improving the Academic Achievement of the Disadvantaged - The purpose of this title is to provide all children significant opportunity to receive a fair, equitable, and high-quality education, and to close educational achievement gaps. Section 1001. (20 U.S.C. §6301)

Title I, Part C - Education of Migratory Children - The purposes of this part are as follows: (1) to assist States in supporting high-quality and comprehensive educational programs and services during the school year and, as applicable, during summer or intersession periods, that address the unique educational needs of migratory children. (2) To ensure that migratory children who move among the States are not penalized in any manner by disparities among the States in curriculum, graduation requirements, and challenging State academic standards. (3) To ensure that migratory children receive full and appropriate opportunities to meet the same challenging State academic standards that all children are expected to meet. (4) To help migratory children overcome educational disruption, cultural and language barriers, social isolation, various health-related problems, and other factors that inhibit the ability of such children to succeed in school. (5) To help migratory children benefit from State and local systemic reforms. Title I, Part C, Section 1301, 20 U.S.C. §6391 et seq.

Title I, Part D - Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent or At-Risk - (1) To improve educational services for children and youth in local, tribal, 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 standards that all children in the state are expected to meet (2) to provide such children and youth with the services needed to make a successful transition from institutionalization to further schooling or employment; and (3) to prevent at-risk youth from dropping out of school, and to provide dropouts, and children and youth returning from correctional facilities or institutions for neglected or delinquent children and youth, with a support system to ensure their continued education. Title I, Part D, Section 1401, 20 U.S.C. §§6421-6472.

Title II, Part A - Supporting Effective Instruction - The purpose of this title is to provide grants to State educational agencies and subgrants to local educational agencies to (1) increase student achievement consistent with the challenging State academic standards; (2) improve the quality and effectiveness of teachers, principals, and other school leaders; (3) increase the number of teachers, principals, and other school leaders who are effective in improving student academic achievement in schools; and (4) provide low-income and minority students greater access to effective teachers, principals, and other school leaders. Title II, Part A, Section 2001, 20 U.S.C. §6611 et seq.

Title III, Part A - Language Instruction for Limited English Proficient and Immigrant Students - The purposes of this part are intended (1) to help ensure that English learners, including immigrant children and youth, attain English proficiency and develop high levels of academic achievement in English; (2) to assist all English learners, including immigrant children and youth, to achieve at high levels in academic subjects so that all English learners can meet the same challenging State academic standards that all children are expected to meet; (3) to assist teachers (including preschool teachers), principals and other school leaders, State educational agencies, local educational agencies, and schools in establishing, implementing, and sustaining effective language instruction educational programs designed to assist in teaching English learners, including immigrant children and youth; (4) to assist teachers (including preschool teachers), principals and other school leaders, State educational agencies, and local educational agencies to develop and enhance their capacity to provide effective instructional programs designed to prepare English learners, including immigrant children and youth, to enter all-English instructional settings; and (5) to promote parental, family, and community participation in language instruction educational programs for the parents, families, and communities of English learners. Title III, Part A, Section 3102, 20 U.S.C. §§6812.

Title III, Part A - Recent Immigrant Grant - The purpose of this part is to provide enhanced instructional opportunities for immigrant children and youth, which may include - (1) family literacy, parent and family outreach, and training activities designed to assist parents and families to become active participants in the education of their children; (2) recruitment of, and support for, personnel, including teachers and paraprofessionals who have been specifically trained, or are being trained, to provide services to immigrant children and youth; (3) provision of tutorials, mentoring, and academic or career counseling for immigrant children and youth; (4) identification, development, and acquisition of curricular materials, educational software, and technologies to be used in the program carried out with awarded funds; (5) basic instructional services that are directly attributable to the presence of immigrant children and youth in the local educational agency involved, including the payment of costs of providing additional classroom supplies, costs of transportation, or such other costs as are directly attributable to such additional basic instructional services; (6) other instructional services that are designed to assist immigrant children and youth to achieve in elementary schools and secondary schools in the United States, such as programs of introduction to the educational system and civics education; and (7) activities, coordinated with community-based organizations, institutions of higher education, private sector entities, or other entities with expertise in working with immigrants, to assist parents and families of immigrant children and youth by offering comprehensive community services. Title III, Section 3115(e)(1)(A-G), 20 U.S.C. §6825(e)(1).

Title IV, Part A - Student Support and Academic Enrichment (SSAE) - The purpose of this subpart is to improve student's academic achievement by increasing the capacity of States, local educational agencies, schools, and local communities to: 1) provide all students with access to a well-rounded education, 2) improve school conditions for student learning, and 3) improve the use of technology in order to improve the academic achievement and digital literacy of all students. Title IV, Part A Section 4101, 20 U.S.C. §7111.

Title IV, Part B - 21st Century Community Learning Centers (21st CCLC) - The purpose of this part is to provide opportunities for communities to establish or expand activities in community learning centers that (1) provide opportunities for academic enrichment, including providing tutorial services to help students, particularly students who attend low-performing schools, to meet the challenging State academic standards; (2) offer students a broad array of additional services, programs, and activities, such as youth development activities, service learning, nutrition and health education, drug and violence prevention programs, counseling programs, arts, music, physical fitness and wellness programs, technology education programs, financial literacy programs, environmental literacy programs, mathematics, science, career and technical programs, internship or apprenticeship programs, and other ties to an in-demand industry sector or occupation for high school students that are designed to reinforce and complement the regular academic program of participating students; and (3) offer families of students served by community learning centers opportunities for active and meaningful engagement in their children's education, including opportunities for literacy and related educational development. Title IV, Part B Section 4201, 20 U.S.C. §7171.

Title V, Part B - Rural Education Achievement Program - The purpose of this part is to address the unique needs of rural school districts that frequently: (1) lack the personnel and resources needed to compete effectively for Federal competitive grants; and (2) receive formula grant allocations in amounts too small to be effective in meeting their intended purposes. Title V, Part B Section 5201 and 5202, 20 U.S.C. §§7341 and 7341a. (Title V, Part B is not included within the on-site monitoring tool. This information is obtained during the desk monitoring process.)

Title IX, Part A of the McKinney-Vento Homeless Assistance Act – This Act guarantees educational rights and supports for students experiencing homelessness, and seeks to remove any barriers these students may face in succeeding in school. The McKinney-Vento Act is designed to address the challenges that homeless children and youths have faced in enrolling, attending, and succeeding in school. 42 U.S.C. § 11431 et seq.

CARES Act/Elementary and Secondary School Emergency Relief Fund (ESSER) – The purpose of the grant is to provide local educational agencies (LEAs), including charter schools that are LEAs, with emergency relief funds to address the impact that COVID-19 has had, and continues to have, on elementary and secondary schools across the nation. ESSER funds expire December 31, 2022.

Overarching Programmatic Requirements

Title I, Part A; Title I, Part C; Neglected and Delinquent; Title II, Part A; Title III, Part A;
Title IV, Part A; Title V, Part B; CARES Act - ESSER Funds

Monitoring Indicators		Acceptable Evidences
1	LEA completes an <u>annual comprehensive needs assessment</u> .	Provide evidence that each school completed an annual comprehensive needs assessment and that the district considered these needs when prioritizing how funds will be utilized. (School)
2	LEA maintains <u>security</u> that ensures all applicable technology, networks, passwords and student data is safe, secure and password protected. ESSA §8545(a)(1-4), 20 U.S.C. §7925	Provide evidence of the LEA's information technology security plan and/or Disaster Recovery Plan which includes protection for student privacy. (District)
3	<p><u>Equitable Services consultation</u> process and meetings between the LEA and private school officials that occur (excluding Title V, Part B):</p> <p>a. prior to the LEA making any decisions regarding the involvement in participating Title programs of eligible private school students, teachers, and families.</p> <p>b. throughout the implementation and assessment of the participating Title programs and services for private school students. ESSA §1117(b)(1)(A-L)</p>	<p>Affirmation of Consultation and Intent to Participate uploaded to Indistar. (District - Indistar)</p> <p>Evidence of implementation of equitable services plan. (District)</p>
4	<p>The LEA ensures that <u>inventory controls</u> are in place.</p> <p>The LEA ensure that private schools are offered the same monitoring and inventory controls for Federally-owned property as public school sites. 2 C.F.R. §§200.312(a) and 200.313(2)(A)</p>	<p>Provide an updated inventory listing for each Federal Program. (District)</p> <p>Provide evidence that inventory check has been performed within the last two years. (District)</p>

5	<p>LEAs maintains and <u>retains all required records</u> that fully show the amount of federal funds, how the LEA used the funds, the total costs of Federally supported projects, the share of costs provided from other sources, records to show compliance with program requirements, and any other records needed to facilitate an effective audit. The LEA must also take reasonable measures to safeguard and protect Personally Identifiable Information (PII). 2 C.F.R. §200.303(e); 2 C.F.R. §200.333; 2 C.F.R. §200.336(a); 34 C.F.R. §§76.730-731</p>	<p>Provide evidence of a district records retention policy which states that all Federal Program records will be maintained for a minimum of three years from the expiration of grant funds.</p> <p>Provide evidence that records have been retained for all federal funds according to policy. (District)</p>
6	<p>LEA must ensure that <u>site allocations</u> are made in accordance with applicable statutory requirements. Section 20 U.S.C. §6333(a)(2)(A)</p> <p>Federal written procedures are in place. 2 C.F.R. §200.302(b)(7)</p> <p>Property and Equipment are inventoried and monitored. 2 C.F.R. §200.313(d)(1)</p> <p>Personnel are verified. 2 C.F.R. §200.430(i)</p>	<p>Provide written policies and procedures for the following in accordance with Uniform Grant Guidance:</p> <ol style="list-style-type: none"> 1. Financial Management System 2 C.F.R. §200.302(b)(1-4) 2. Cash Management System 2 C.F.R. §200.302(6) 3. Allowability of Costs 2 C.F.R. §§200.302(6);200.403-405 4. Procurement 2 C.F.R. §200.318(a) 5. Conflict of Interest 2 C.F.R. § 200.318(c)(1) 6. Method of Conducting Technical Evaluations of Proposal 2 C.F.R. §200.320(d)(3) 7. Travel 2 C.F.R. §200.474(b) 8. Property 2 C.F.R. § 200.313 <p>(District)</p>

7	<p><u>Maintenance of Effort and Comparability:</u> Each LEA shall have either the combined fiscal effort per student or the aggregate expenditures of the LEA and the State with respect to the provision of free public education by the agency for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year. ESSA § 8521</p> <p>Each LEA shall use State and local funds in schools served under this part to provide services that, taken as a whole, are at least comparable to services in schools that are not receiving funds under this part. ESSA § 1118(c)(1)(A)</p>	<p>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 is required. (District - Indistar)</p>
8	<p><u>Supplement not Supplant:</u> The LEA must ensure that Federal program funds are used to supplement, not supplant State and local funds. ESSA §1114(a)(3)(B); ESSA §3115(g)</p>	<p>Provide written methodology. (District - Indistar)</p>
9	<p>Document employee's <u>time and effort</u> whose salary and wages are supported, in whole or in part, with federal funds.</p>	<p>Provide a list of employees paid from federal programs, time sheets and contracts. (District)</p>

Title I, Part A
Improving the Academic Achievement of the Disadvantaged

Monitoring Indicators		Acceptable LEA Evidences
10	LEA <u>Title I committee</u> selects a diverse group of members. ESSA §1112(a)(1)(A)	Provide a list of names of committee members and their titles. (School)
11	Title I <u>Targeted Assistance Programs</u> Student Eligibility Criteria ESSA §1115(c)	Provide method used and list the students identified for targeted assistance. (School)
12	<u>Application</u> has been approved by DESE to include budget, activities, equity plan, schoolwide programs and/or targeted assistance programs, services for homeless students, and collaboration to ensure foster the educational stability of children in foster care.	Provide evidence of implementation of Title I approved application. (Onsite - School)
Parent and Family Engagement, Title I, Part A		
13	LEA ensures the Title I school <u>Parent and Family Engagement Plan</u> has been implemented and that each school has carried out the six requirements to build capacity for involvement. ESSA §1116 (e)(1-5,14)	Provide evidence that the school has carried out the six requirements to build capacity for involvement: <ol style="list-style-type: none"> 1. Provide assistance to parents in understanding challenging state academic standards, assessments and how to monitor student's progress 2. Provide materials and training to help parents work with their child 3. Educate staff in the value of parent involvement and how to communicate and work with parents as equal partners 4. Coordinate and integrate parent involvement programs with other federal, state and local programs 5. Information related to school and parent activities is sent home to parents in format and language they can understand 6. Provide other reasonable support for parent involvement activities as parents may request (School)

14	<p>Parent and Family Engagement Plan was <u>developed jointly with parents</u>, agreed upon and disseminated to parents. ESSA §1116(a)(2)(A) and (b)(1)</p> <p>The LEA's Parent and Family Engagement Plan includes strategies for the inclusion of parents of private school children. ESSA §1116,1117(a)(1)(B)</p>	<p>Provide Parent and Family Engagement committee meeting sign-in sheets, that clearly identify parents in attendance, to verify that their Parent and Family Engagement Plans were developed jointly with and agreed on with parents. Provide examples of how plans were disseminated.</p> <p>Provide evidence of Parent and Family Engagement Plan for the inclusion of parents of private school children. Provide strategies that were used to support private school parents and children. (School)</p>
15	<p>At the beginning of each school year, the LEA notifies the parents of each student about the <u>right to request information</u> regarding the professional qualifications of the student's classroom teachers and paraprofessionals. ESSA §1112(e)(1)(A-B)</p> <p>At the beginning of the year, parents of participating students are informed that they have a <u>right to request regular meetings</u> to help formulate suggestions and participate in the decisions made relating to the education of their children. ESSA §1116(c)(4)(C)</p>	<p>Provide evidence of Parents Right to Know letter verifying that they were informed and received timely notification if student has been assigned to or has been taught four or more consecutive weeks by a teacher who does not meet applicable state certification or licensure requirements at the grade level and subject area in which the teacher has been assigned.</p> <p>Provide evidence verifying that the Title I school informed parents of students receiving Title I services that they had a right to ask for regular meetings to help formulate suggestions and participate in the decisions made about the education of their children. (School)</p>

<p>16</p>	<p>LEA ensures that an <u>annual evaluation</u> of the effectiveness of the Parent and Family Engagement Policy/Plan and activities have been completed for participating schools. ESSA §1116(a)(2)(D)(i-iii)</p> <p>LEA should use the <u>annual evaluation findings</u> to help improve the Parent and Family Engagement efforts. ESSA §1116 (a)(2)(E)</p>	<p>Provide evidence of the most recent annual evaluation for the Parent and Family Engagement Policy/Plan for each school in the district.</p> <p>The evaluation must include the following:</p> <ul style="list-style-type: none"> a. identifies barriers to greater participation (with particular attention to parents who are economic disadvantaged, are disabled, have limited English proficiency, have limited literacy, or are of any racial or ethnic minority background), b. identifies the needs of parents and family members to assist with the learning of their children, including engaging with school personnel and teachers, c. identifies strategies to support successful school and family interactions. <p>Provide evidence of written documentation on how the findings of the annual evaluation are used to design evidence-based strategies for more effective parental involvement, and to revise, if necessary, the parent and family engagement policies described in this section. (School)</p>
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17	<p>Parents of students receiving Title I services receive <u>information about the school's Title I Program</u>. ESSA §1116</p> <p>Parent notifications and information to the parents in a language that is understandable to the parents. ESSA §1116</p> <p>Title I school <u>School-Parent Compact</u> to be discussed and agreed upon by the school, parent and the student. It should outline how parents, the entire school staff, and students will share the responsibility for improved student academic achievement and the means by which the school and parents will build and develop a partnership to help children achieve the State's high standards and is jointly develop with parents for all children receiving Title I services. ESSA §1116 (d)(1), (d)(2)(A-D)</p>	<p>Provide evidence of School Annual Title I Meeting's agenda, sign-in sheets and minutes to verify that each Title I School does the following:</p> <ol style="list-style-type: none"> Conduct an School Annual Title I Meeting to inform parents of participating students about the school's Title I Program. Provide a description and explanation of the curriculum in use at the school. Provide information about the forms of academic assessment used to measure student progress. Provide information about the achievement levels of the challenging State academic standards. <p>Provide examples of translated documents. Examples may include Parent Right to Know letter, timely notice letter, school parent compact, School Annual Title I meeting invitation, all correspondence to EL parents.</p> <p>Provide evidence of the School-Parent Compact, that has been discussed and agreed upon by all stakeholders, to verify that each Title I school has developed a School-Parent Compact.</p> <p>Provide documents that verify that parent provided input into how the funds set-aside for Parent and Family Engagement were spent. (meeting agenda, meeting minutes, sign-in sheets, surveys). (School)</p>
Paraprofessionals, Title I, Part A		
18	<p>LEA ensures that paraprofessionals are <u>highly qualified</u>. ESSA §1112(c)(6)</p>	<p>Provide appropriate documentation of high qualified status for each paraprofessional. (District)</p>
19	<p>The LEA provides <u>professional development</u> and other activities for teachers, paraprofessionals, and other school personnel to improve instruction and use of data from academic assessments. ESSA §1114(b)(7)(iii)(IV)</p>	<p>Provide professional development plan. (School)</p>

1003 Grant, Title I, Part A

20	Application has been approved by DESE to include budget, activities, and evaluation of all components.	Provide evidence of implementation of approved application. (District)
Title I, Part A Neglected		
21	Application has been approved by DESE.	Provide evidence of implementation of approved application. (District)
22	Mandated set aside has been completed in Federal Grants Management and included in the budget.	Provide evidence that school provided services or materials to facility. (FGM, Indistar)

Title I, Part C
Education of Migratory Children

Monitoring Indicators		Acceptable LEA Evidences
23	Application has been approved by DESE to include budget, activities, inventory, required reports and evaluation of all components.	Provide evidence of implementation of approved application. (District)

Title I, Part D, Subpart 1 (DYS & DOC)

Prevention and Intervention Programs for Children and Youth Who are Neglected, Delinquent or At-Risk

Monitoring Indicators		Acceptable Evidence
24	<u>Application</u> has been approved by DESE. ESSA §1414(c)	Provide evidence of implementation of approved application. (District)
25	Program <u>funds</u> have been used appropriately. ESSA §1415	Provide evidence that funds have been used appropriately.
26	Appropriate funds have been reserved and utilized for <u>transition services</u> . ESSA §1418	Provide evidence that 15-30% of funds are utilized for transition services.

Title I, Part D, Subpart 2 (LEAs)

Prevention and Intervention Programs for Children and Youth Who are Neglected, Delinquent or At-Risk

Monitoring Indicators		Acceptable Evidence
27	Application has been approved by DESE to include budget, activities, transitional plan, third party contracts/agreements and evaluation of all components. ESSA §1423	Provide evidence of implementation of approved application. (District)
28	Program funds have been used appropriately. ESSA §1424	Provide evidence that funds have been used appropriately.
29	Evaluation of facility. ESSA §1426	Provide evidence that the facility has demonstrated an increase in the number of children and youth returning to school, attaining a regular high school diploma or its recognized equivalent or attaining employment after such children and youth are released. LEA reports unresolved issues to SEA. (District)

Title II, Part A

Preparing, Training, and Recruiting High-Quality Teachers, Principals, and Other School Leaders

Monitoring Indicators		Acceptable LEA Evidences
30	If applicable, describe how Class-Size Reduction (CSR) needs are determined. ESSA §2103(b)(3)(D)	Provide the written methodology used to determine Class-Size reduction. (See Commissioner’s Memo COM-19-106) (School)
31	<p>Professional development activities the LEA selects meet the purpose of Title II, Part A by containing the following:</p> <p>a. increases student achievement consistent with the challenging State academic standards ESSA §2103(b)(3)(E)</p> <p>b. improves the quality and effectiveness of teachers, principals, and other school leaders ESSA §2103(b)(3)(E)</p> <p>c. increases the number of teachers, principals, and other school leaders who are effective in improving student academic achievement in schools ESSA §2103(b)(3)(E)</p> <p>d. provides low-income and minority students greater access to effective teachers, principals, and other school leaders. ESSA §2103(b)(3)(B)</p>	<p>Provide documentation of professional development needs based on evidenced-based practices. (See Commissioner’s Memo COM-19-106)</p> <p>Provided a list of teachers receiving incentives and type of incentives. ESSA §2103 (b)(B)(3)(ii)</p> <p>Provide evidence of how data driven professional development is used to meet the learning needs of children with disabilities, English learners, and gifted and talented students. (School)</p>
32	<p>The LEA provides meaningful consultation with teachers, principals, other school leaders, paraprofessionals, support personnel, parents, family, community partners, and stakeholders. ESSA §2102(b)(3)</p> <p>The LEA consults with private schools within district boundaries to provide resources for professional development to the private school teachers if the private school chooses to participate. ESSA §8501</p>	<p>Provide documentation of specific Title II, Part A consultation criteria.</p> <p>Provide sign in sheets, agendas, and minutes of consultation including stakeholder representation. (District)</p>
33	Application has been approved by DESE to include budget, activities, private school consultation, and evaluation of all components.	Provide evidence of implementation of approved application. (District)

Title III, Part A

Language Instruction for English Learners and Immigrant Students

Monitoring Indicators		Acceptable Evidence
34	Title III funds are used as a supplement for programs for English Learners and immigrant children and youth and in no case to supplant. ESSA §3115(g)	Provide documentation that supports that Title III activities were used for supplemental activities and not to support a district's general operating budget or programs previously funded with local or other operating funds. (District)
35	LEA has identified English Learners for participation as required by ESSA §3113(b)(2).	<p>Provide evidence of completed Home Language Usage Surveys.</p> <p>Provide a verified list of eligible English Learners (EL).</p> <p>Provide evidence of administering ELPA21 Screener to appropriate students (Language Minority Students, newly enrolled, etc.) (District)</p>
36	LEA annually assesses the English proficiency of all ELs in grades K-12. ESSA §1111(b)(2)(G)(i)	<p>Provide:</p> <ol style="list-style-type: none"> 1. Information on how many EL students were not assessed and the reason for not testing. 2. Evidence that all EL students, including those in other programs such as Special Education, are annually assessed with ELPA21 assessment. 3. Documentation that EL parents are informed of the ELPA21 summative assessment testing requirements and results for all EL students. (District)

37	LEA ensures that the required <u>language instruction educational program</u> (LIEP) and the supplemental language instruction educational programs focus on the development of English language proficiency and student academic attainment of the state content standards. ESSA §3115(c)(1)(A-B)	Provide: 1. District's plan for implementation of State Academic Standards including the ELP standards. 2. The process of developing English Language Proficiency (ELP) content curriculum that integrates components of ELP standards. 3. Evidence of ELP Standards being available to staff. (Examples may include sign-in sheets from ELP standards training) 5. Documentation of classroom observation feedback, from an administrator trained on ESL concepts, on how teachers meet the needs of EL students. (School)
38	LEA ensures that they provide effective <u>professional development</u> to classroom teachers (including teachers in classroom settings that are not the settings of language instruction educational programs), principals and other school leaders, administrators, and other school or community-based organizational personnel. ESSA § 3115(c)(2)(A-D)	Provide a professional development plan indicating how varying audiences are trained and sign-in sheets/agendas from the trainings. (School)
39	The LEA ensures that ELs are included in all state content and <u>ELP assessments</u> . ESSA §1111(b)(2)(I)(II)(ii)	Provide evidence that all English Learners were tested.
40	<u>Individual Learning Plans</u> by the Language Proficiency and Assessment Committee (ILP/LPAC) have been created for all English Learners. All teachers serving English Learners have received a copy of the student's ILP and it is being implemented on a daily basis to increase English Proficiency. ESSA §3115(c)(1)	Provide: 1. Student ILP/LPAC Forms. 2. Signatures of Administrators, Classroom Teachers, ESOL Coordinator and others on the LPAC, if applicable.
41	LEAs <u>monitor</u> students that meet the exit criteria. ESSA §3113(b)(3)(B)	Provide: 1. List of former EL students currently being monitored. 2. Monitoring forms/documentation of students in monitoring (School)

42	LEA has an effective means of parent outreach to EL parents (programs, activities, training, and family literacy). The district has evidence that EL parents are involved stakeholders. ESSA §3115(c)(3)(A), 3116(b)(3)	Provide evidence of how the LEA promotes parent, family, and community engagement in the education of English Learners. Examples could include calendar of events, topics, and sign-in sheets. (School)
43	Application has been approved by DESE to include budget, activities, programs, parent and community engagement, and evaluation of all components.	Provide evidence of implementation of approved application. (District)

Title III, Part A
Immigrant Children and Youth Grant

Monitoring Indicators		Acceptable Evidence
44	LEA shall use funds to pay for activities that provide <u>enhanced instructional opportunities</u> for immigrant children and youth. ESSA §3115(e)(1)(A-G)	<p>Provide documentation of chosen activities such as schedules, sign-in sheets, purchase orders (when applicable) from the list below:</p> <ol style="list-style-type: none"> 1. Family literacy, parent and family outreach, and training activities designed to assist parents and families to become active participants in the education of their children; 2. Recruitment of, and support for, personnel, including teachers and paraprofessionals who have been specifically trained, or are being trained, to provide services to immigrant children and youth; 3. Provision of tutorials, mentoring, and academic or career counseling for immigrant children and youth; 4. Identification, development, and acquisition of curricular materials, educational software, and technologies to be used in the program carried out with awarded funds 5. Basic instructional services that are directly attributable to the presence of immigrant children and youth in the local educational agency involved, including the payment of costs of providing additional classroom supplies, costs of transportation, or such other costs as are directly attributable to such additional basic instructional services; 6. Other instructional services that are designed to assist immigrant children and youth to achieve in elementary schools and secondary schools in the United States, such as programs of introduction to the educational system and civics education; 7. Activities, coordinated with community-based organizations, institutions of higher education, private sector entities, or other entities with expertise in working with immigrants, to assist parents and families of immigrant children and youth by offering comprehensive community services. (School)
45	<u>Application</u> has been approved by DESE.	Provide evidence of implementation of approved application. (District)

Title IV, Part A
Student Support and Academic Enrichment

Monitoring Indicators		Acceptable Evidence
46	LEA shall develop its application through consultation with parents, teachers, and other stakeholders with demonstrated expertise in programs and activities designed to meet the purpose of this subpart. ESSA §4106(c); 20 U.S.C. §7116.	Provide evidence of dated agendas, minutes, sign-in sheets, notes of consultation with parents, teachers, principals, other school leaders, specialized instructional support personnel, students, community-based organizations, and local government representatives. (District)
47	Application has been approved by DESE to include budget, activities, programs, internet safety policy, private school consultation, and evaluation of all components.	Provide evidence of implementation of approved application. (District)

Title IV, Part B
Nita M. Lowey 21st Century Community Learning Centers

Title IV, Part B funds are awarded through a competitive grant process. See Appendix B for the monitoring tool for grant recipients.

Title V, Part B
Rural Education Achievement Program

Monitoring Indicators		Acceptable Evidences
48	<u>Application</u> has been approved by DESE to include budget, activities, and evaluation of all components.	Provide evidence of implementation of approved application. (District)

Title IX, Part A
McKinney-Vento Education for Homeless Children and Youths

Monitoring Indicators		Acceptable Evidence
49	The LEA implements procedures to address the <u>identification</u> of homeless children and youth according to statutory definitions. McKinney-Vento Homeless Assistance Act, 42 U.S.C. §11432(g)(1)(B).	Provide enrollment, intake, and tracking forms for all identified homeless students. Provide notes/logs/documentation of community contacts. (Building)
50	The LEA implements procedures to address the immediate <u>enrollment</u> of homeless children and youth according to statutory requirements. McKinney-Vento Homeless Assistance Act, 42 U.S.C. §11432(g)(1)(C).	Provide evidence of written procedures for enrolling homeless children. Provide agendas, memos, and handbooks for training sessions. Provide evidence of posters, brochures, and flyers available in each building. (Building)
51	The LEA implements procedures to address the retention of homeless students in the <u>school of origin</u> . McKinney-Vento Homeless Assistance Act, 42 U.S.C. §11432(g)(3)(B).	Provide the following: 1. Memos and other information explaining the rights of parents for their children to attend the school of origin 2. Needs assessment documents 3. District policies 4. Tracking of transportation to school of origin (District)
52	The LEA <u>disseminates information</u> both internally and externally to ensure appropriate implementation of the statute. McKinney-Vento Homeless Assistance Act, 42 U.S.C. §11432(g)(6)(A)(v).	Provide communication tools for internal and external stakeholders. Provide evidence of posters, brochures, and flyers available in each building. (District)
53	The LEA ensures that there is <u>coordination of programs and services</u> to homeless students and families. McKinney-Vento Homeless Assistance Act, 42 U.S.C. §11432(g)(5)(D).	Provide completed collaboration forms for community and district coordination. (District)

54	The LEA has a system for ensuring prompt <u>resolution of dispute.</u> McKinney-Vento Homeless Assistance Act, 42 U.S.C. §11432(g)(3)(E).	Provide dispute resolution form and log. (District)
55	The liaison participated in <u>professional development</u> this year. McKinney-Vento Homeless Assistance Act, 42 U.S.C. §11432(g)(1)(F)(ii).	Provide certificates of attendance for the district liaison from the following: 1. State Conference 2. Trainings at Educational Cooperatives 3. Other trainings (District)
56	<u>Application</u> has been approved by DESE to include budget, activities, enrollment residency questionnaire, policies, training, phone and email logs, distributed information, records of transportation, agendas, agreements, required reports and evaluation of all components.	Provide evidence of implementation of approved application. (District)

*See Appendix A for additional monitoring criteria for competitive grant recipients.

CARES Act - ESSER Funds

Monitoring Indicators		Acceptable Evidences
57	<u>Application and Assurances</u> has been approved by DESE.	Provide evidence that the LEA application has been implemented. Final approval letter will be verified in Indistar.
58	<u>Section 427 of GEPA Statement</u> has been approved by DESE.	Provide evidence that the GEPA Statement has been implemented. GEPA Statement will be verified in Indistar.
59	<u>Expenditures</u> with CARES Act - ESSER funds must meet reasonable, necessary and allowable within the 12 uses of funds. CARES Act Section 18003 (d)	Accounts Payable Check Register and Payroll Distribution Detail Report uploaded to Indistar. Provide evidence that expenditures are documented and meet funding requirements.
60	<u>Reporting</u> requirements are met within timelines.	Required reports submitted.

APPENDIX A
Title IX, Part A - Competitive Subgrant
McKinney-Vento Education for Homeless Children and Youths

Monitoring Indicators		Acceptable Evidence
61	LEA ensures that <u>services for homeless students</u> are expanded or improved through the use of the subgrant.	Provide evidence that services are expanded or improved through the use of the subgrant.
62	The LEA implements procedures to address the <u>academic needs</u> of homeless students.	Provide evidence that services provided address the academic needs of homeless students.
63	An <u>evaluation</u> of the programs and services provided to students is completed.	Provide evidence that the district completed an evaluation of the programs and services provided to students.

APPENDIX B

Title IV, Part B - Competitive Subgrant

Nita M. Lowey 21st Century Community Learning Centers 21st Century Community Learning Centers

Monitoring Indicators		Acceptable Evidence
64	Provide evidence that students have the opportunity to participate in at least 300 program hours before or after the traditional school day over the course of a year. Provide evidence that the program supplements and not supplants regular school day requirements. ESSA §4204(a)(2)(B)	Yearly program schedule and calendar documents program times and the amount of hours planned for programming during out of school time. 21 st CCLC programming provides supplemental supports and does not mimic the regular school day.
65	Provide evidence of the program taking place in a safe and easily accessible facility and students participating in the 21st CCLC program travel safely to and from the center and home. Provide evidence that the Safety Plan (policies, procedures, drills, and safe dismissal) is clearly written and made known to all students, staff, and parents. ESSA §4204(b)(2)(A)(i)-(ii)	Written policies, procedures, and regulations for health, fire, safety, pick-ups/drop-offs, parental/guardian consents, transportation, field trips, food, medical, emergency drill records, and other emergency procedures are clearly listed, posted and widely disseminated. Policies will conform to applicable local and State standards.
66	Provide evidence that the program has a system for signing children in and out of the 21 st CCLC program, for locating students at all times, and evidence to indicate the safety of the students is being addressed. ESSA §4204(b)(2)(N)	Written policies/procedures, student tracking system, daily student attendance records, etc.
67	Provide documentation that all staff and volunteers have completed background and child maltreatment checks .	Program director and/or the district office has documentation on file that every 21 st CCLC employee and volunteer has met all Background and Child Maltreatment Checks required.
68	Provide a description of how the 21 st CCLC program disseminates information about the program (including its location) to the community in a manner that is understandable and accessible. ESSA §4204(b)(2)(A)(iii)	Program handbook, email, social media, website, press releases, correspondence, bulletin postings, meetings, etc.
69	Provide evidence of program leadership ensuring ongoing communication between program staff and students/families regarding student progress. ESSA §4204(b)(2)(A)(iii)	Progress reports (academic and behavioral), meetings (agendas, sign-in sheets, and minutes), correspondence, homework logs, etc.

70	Provide evidence of how program leadership ensures ongoing <u>communication</u> between afterschool staff and regular school staff, teachers, and administrators.	Emails, phone calls, meetings (agendas, sign-in sheets, and minutes), etc.
71	School <u>meets</u> with parents, student, and public and private community members. ESSA §4204(b)(2)(N)	Meeting agendas, sign-in sheets, minutes, correspondence, etc.
72	Provide evidence of how all program activities are expected to <u>improve student academic achievement</u> as well as overall student success. ESSA §4204(b)(2)(D)(ii)	Student data, personalized student activities, student and parent feedback, etc.)
73	Provide evidence of how the program is <u>aligned with the challenging State academic standards</u> and any local academic standards. ESSA §4204(b)(2)(D)(ii)	Lesson plans that demonstrate alignment with State standards.
74	Provide evidence of how the activities will meet the following <u>measures of effectiveness</u> : 1. Program is based upon an assessment (needs assessment) of objective data regarding the need for before and after school (or summer recess) programs and activities in the schools and communities; 2. Program is based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment opportunities; 3. Program is based upon evidence-based research that the program or activity will help students meet the challenging State academic standards and any local standards; 4. Ensure that measures of student success align with the regular academic program of the school and the academic needs of participating students; 5. Collect the data necessary for the measures of student success. §4204(b)(2)(E)	Data from needs assessment is collected and used to make documented decisions about students and the program Performance measures for each student and subgroup Documentation of activities in the program are evidence-based and help identified students successfully meet the standards

75	Provide evidence of the program using best practices , including research or evidence-based practices, to provide educational and related activities that will complement and enhance academic performance, achievement, postsecondary and workforce preparation, and positive youth development of the student. ESSA §4204(b)(2)(J)	Evidence- and scientifically-based researched programs
76	Provide evidence of how the program is supporting and monitoring students' academic growth and achievement . ESSA §4204(b)(2)(E)	Progress reports, assessment data, achievement of student performance measures, etc.
77	Provide evidence of staff participating in on-going professional development and trainings specific to the 21 st CCLC program. ESSA §4204(b)(2)	Description of training, agenda, sign-in sheets, minutes, training handouts, professional development plan/calendar, etc.
78	Provide evidence of how the program is coordinating federal, state and local programs to make the most effective use of public resources (Coordination of Funds). ESSA §4204(b)(2)(C)	Other source of funding or resources (besides 21 st CCLC) used to support and achieve program goals
79	Provide evidence of how the program is actively collaborating with the school(s) that participating students attend (including through the sharing of relevant data among the school(s)), all participants of the program, and any partnership entities in compliance with applicable laws relating to privacy and confidentiality. ESSA §4204(b)(2)(D)(i)	Meeting agendas and schedules for collaboration, sign-in/out, policies regarding privacy, etc.
80	Provide evidence that the program is targeting students from the targeted school identified in the grant awarded application. ESSA §4204(b)(2)(F)	Documentation of all students in 21 st CCLC program attend the targeted school within the grant awarded application
81	If applicable, provide evidence of the partnership between a local educational agency (LEA), a community-based organization (CBO), and another public entity or private entity. ESSA §4204(b)(2)(H)	Co-applicant's documentation of services and activities

82	Provide evidence of an <u>evaluation of the community needs and available resources</u> for the community learning center, and a description of how the program site continues to address those needs (including working families). ESSA §4204(b)(2)(I)	Data from community evaluation, documentation of how the needs are addressed, etc.
83	If applicable, provide evidence on how <u>volunteers</u> are used in activities carried out through the community learning center and how the eligible entity will encourage and use appropriately qualified persons to serve as volunteers. ESSA §4204(b)(2)	Recruitment procedures, job descriptions, background check documentation, training materials (agenda, sign-in sheets, minutes, etc.
84	Provide evidence that the program is offering families of students served <u>active and meaningful engagement</u> in their children's education, including opportunities for literacy and related educational development. ESSA §4201(a)(3)	Correspondence (flyers/announcements), family attendance records (sign-in sheets), activities/schedules (agendas), etc.
85	Program has <u>registration forms</u> for all participants that include student demographics (race/ethnicity, limited English proficiency, new to school, etc.), and attendance records broken down to 30 days or more and fewer than 30 days. §4204(b)(2)(N)	Registration forms (including student State 10-digit identification number), attendance forms, 21 st CCLC Annual Performance Data, etc.
86	Provide evidence that all students have access to <u>healthy snacks</u> during programming.	Daily snack/dinner log or other documentation
87	Provide evidence on <u>program transitions</u> being orderly and timely between activities.	Program schedule detailing times during and between activities.
88	Provide evidence of <u>student sign-in and sign-out</u> documentation.	Sign-in/out documentation
89	Provide evidence of maintaining written plans for activities and forms to track student participation in activities. §4204(b)(2)(N)	System for tracking student participation in all activities, lesson plans, etc.
90	Provide evidence of accounting for <u>staff attendance</u> .	Sign-in/out documentation, timesheets, etc.
91	Provide clear <u>standards for student behavior</u> consistently. ESSA §4201(b)(3)(N)	Student behavior techniques/interventions, classroom discipline rules, incident reports, etc.

92	Provide evidence of how <u>student records</u> are maintained and student information is kept confidential.	Location of records is locked and secure, and/or maintained in secure database, etc.
93	Provide evidence that all <u>financial records</u> are current such as expenditures, salary reporting, invoices, receipts, inventory, etc.	Accounting system in place to maintain all financial records.
94	Grantee maintains copy of the <u>approved application</u> , amendments, revised budgets, and needs assessments results.	21 st CCLC application, approved amendments (if applicable), needs assessment data, etc.
95	Provide documentation that <u>enrichment activities</u> support the program's curriculum and objectives.	Lesson plans aligned to grant awarded goals, activity logs/descriptions, etc.
96	Provide a system of accountability and <u>continuous evaluation</u> to support program improvement. System accounts for parent, participants, and staff satisfaction and uses data to identify necessary changes. ESSA §4205(b)(2)	Program modifications, amendments (if applicable), evaluation/monitoring reports, results from program improvement plans, survey and results from key stakeholders, including parents, students, and collaborators/partners, etc.
97	<u>Evaluation findings</u> are regularly and effectively communicated to staff, collaborators, partners, parents, students, and other key stakeholder. ESSA §4205(b)(2)(B)(ii)	Evaluation reports, meeting agendas, sign-in sheets, minutes, newsletters/press releases, etc.
98	Grantee ensures that funds under this part will be used to increase the level of state, local, and other non-Federal funds that would, in the absence of funds under this part, be made available for programs and activities authorized under this part, and in no case <u>supplant</u> Federal, State, local, or non-Federal funds.	Expenditure reports Salary/account distribution reports (indicating all funds contributing to employee's salary) of all employee salaries paid in whole or in part with federal funds List of all employees paid with Federal program dollars Job descriptions of all Federal program employees

99	<p>Provide a preliminary plan for how the community learning center will <u>continue after 21st CCLC funding ends</u>. Provide evidence of program leadership identifying resources and partnerships for current grant year and in the future. ESSA §4204(b)(2)(K)</p>	<p>Sustainability plan documenting how the community learning center will continue after 21st CCLC funding ends.</p> <p>Site provides documentation of program leadership updating the plan yearly to identify resources and partnerships that will support the continuation of the program during and after 21st CCLC funding has ended.</p>
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