

**School Support and Accountability (SSA)
State Educational Agency (SEA)
Title I Performance Review
Self-Assessment**

School Support and Accountability Performance Review 2

A. State Assessment Requirements 3

B. Statewide Accountability System 6

C. Identification of Schools 12

D. Support for School Improvement 16

E. 1003 School Improvement 22

F. State and Local Report Cards 26

G. Schoolwide Programs 32

H. Targeted Assistance Programs 36

I. Parent and Family Engagement 40

J. Direct Student Services 45

K. Optional Public School Transfer 49

L. Title I-Specific Fiscal Requirements 51

M. Other Title I Requirements 55

N. Educational Stability for Students in Foster Care 60

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 200 hours per year, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-3118 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1810-New.

School Support and Accountability Performance Review

The Office of Elementary and Secondary Education (OESE) established the performance review process to conduct oversight of and provide assistance to State educational agencies (SEAs) as they administer K-12 formula grant programs. The goals of the performance review process are to conduct a State-centered, performance-focused review of key programs through a single, streamlined process that results in improved and strengthened partnerships between the Department and States, and encourages States to develop and effectively implement integrated and coherent consolidated State plans. To accomplish these goals, the performance review process is organized by areas, which reflect the programmatic and fiscal requirements.

The performance review addresses a State's grant administration and fiscal management processes and is based on information provided through the review process, and other relevant qualitative and quantitative data. The primary goal of this review is to ensure that implementation of the included programs is consistent with the fiscal, administrative, and select program requirements contained in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance: 2 Code of Federal Regulations (CFR) Part 200), the Education Department General Administrative Requirements (EDGAR), and the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA).

This protocol reviews the requirements of Title I, Part A, Improving Basic Programs Operated by Local Educational Agencies (LEAs) and Title I, Part B of the ESEA, State Assessment Grants.

A. State Assessment Requirements

ESEA

[§1201\(a\)](#)

[§1111\(b\)\(2\)\(B\)](#)

Title I Regulations

[34 CFR §200.1-200.10](#)

Description: An SEA must administer required statewide assessments and report on participation and achievement for those assessments. An SEA must also use State Assessment Grant funds only for allowable uses of funds consistent with sections 1201(a)(1) and (a)(2). An SEA may also use assessment flexibilities permitted under the statute.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended Participants: State Assessment Director; Title I fiscal representative; IDEA and Title III representative; State Consolidated State Performance Report representative

Subtopics:

- Use of State Assessment Grant Funding
- Required Assessments
- Assessment Flexibilities
- Participation Rates

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
Use of State Assessment Grant Funding	A1. Please describe how the State utilized Grants for State Assessments funds in the current and prior fiscal year. In your response, indicate the amount or percentage of funds that are used for: 1- Development of the State standards and assessments required by section 1111(b)	<i>Enter brief response here</i>	

	<p>of the ESEA and/or</p> <p>2- For other administration activities.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Prior and current year budget 		
Required Assessments	A2. General assessments in mathematics and reading/language arts for grades 3-8	<i>Provide name(s) of assessments</i>	
Required Assessments	A3. General assessments in mathematics and reading/language arts for high school	<i>Provide name(s) of assessments</i>	
Required Assessments	A4. General assessments in science for each of the following grade bands: 3-5, 6-9, 10-12	<i>Provide name(s) of assessments</i>	
Required Assessments	A5. Alternate assessments based on alternate academic achievement standards for grades 3-8 and high school in reading/language arts and mathematics	<i>Provide name(s) of assessments</i>	
Required Assessments	A6. Alternate assessments based on alternate academic achievement standards in science for each of the following grade bands: 3-5, 6-9, and 10-12	<i>Provide name(s) of assessments</i>	
Required Assessments	A7. English language proficiency assessment in grades K-12	<i>Provide name(s) of assessments</i>	
Required Assessments	A8. Alternate English language proficiency assessment in grades K-12	<i>Provide name(s) of assessments</i>	
Required Assessments	A9. Is the SEA in the process of changing any of those assessments?	<i>Choose an item.</i>	
Required Assessments	A10. If yes, specify which subjects and grades and in which year will the SEA first operationally administer the new assessment(s).	<i>Provide name(s) of assessment(s), grade(s), and associated year</i>	
Required Assessments	A11. Is the State in the process or has the SEA adopted any new content or achievement standards in the last 12 months or substantially amended existing standards?	<i>Choose an item.</i>	
Required Assessments	A12. If yes, please describe the timeline for developing statewide assessments aligned to the new standards.	<i>Provide name(s) of new or amended standards and associated timeline.</i>	
Assessment Flexibilities	A13. Are any LEAs in the State administering locally selected, nationally recognized high school	<i>Choose an item.</i>	

	academic assessments in lieu of the State assessments for Title I that have been approved by the State for this use?		
Assessment Flexibilities	A14. Is the SEA using the exception for 8 th graders to take the SEA's high school end-of-course mathematics assessment?	<i>Choose an item.</i>	
Assessment Flexibilities	A15. If yes, what advanced assessment does the SEA administer to the students in high school? Suggested Documentation: <ul style="list-style-type: none"> Guidance to LEAs and schools regarding assessment requirements 	<i>Enter brief description here</i>	
Assessment Flexibilities	A16. If the State is using the 8 th grade math exception, what are its strategies to provide all students in the State the opportunity to be prepared for and to take advanced math coursework, consistent with the regulatory and State plan requirements? In your response, please discuss any data the SEA has used regarding discrepancies in access to advanced coursework in the State to inform its strategies. Suggested Documentation: <ul style="list-style-type: none"> Available data regarding in access to advanced coursework in the State 	<i>Enter brief description here</i>	
Participation Rates	A17. In instances where participation rate is below 95 percent for student subgroups, schools, or LEAs, how is the SEA is working to increase participation rates?	<i>Enter brief response here</i>	
Additional Documentation	Suggested Documentation: <ul style="list-style-type: none"> Other documentation that would serve as evidence for the questions asked 		

B. Statewide Accountability System

ESEA

[§1111\(b\)\(3\)](#)

[§1111\(c\)\(4\)\(A\)](#)

[§1111\(c\)\(4\)\(B\)](#)

[§1111\(c\)\(4\)\(C\)](#)

[§1111\(c\)\(4\)\(E\)](#)

[§1111\(c\)\(4\)\(F\)](#)

[§8101\(23\)](#)

[§8101\(25\)](#)

Description:

A State shall establish ambitious long-term goals and measurements of interim progress for, at a minimum, improved academic achievement, high school graduation rates, and increases in the percentage of English learners making progress in achieving English language proficiency, which is defined by the State and measured by the State's statewide English language proficiency assessments, within a State-determined timeline.

An SEA must measure, on an annual basis, all required indicators for all students and each subgroup of students. For purposes of the academic achievement indicator, the SEA must ensure that at least 95 percent of all students and each subgroup of students are assessed annually on the State's reading/language arts and mathematics assessments. Students must be included consistent with the partial attendance requirements in section 1111(c)(4)(F). A State must establish a system of annual, meaningful differentiation of all public schools in the State based on all indicators in the State's accountability system for all students and for each subgroup of students. Each academic indicator (academic achievement; "other academic" indicator for Elementary and Secondary schools that are not high schools; progress in achieving English language proficiency; and graduation rate for high schools) must receive substantial weight individually and, in the aggregate. Additionally, each academic indicator must receive much greater weight than the school quality or student success indicator(s), in the aggregate. The system must include the differentiation of any school in which any subgroup of students is consistently underperforming, as determined by the State, based on all indicators. Students must be included consistent with the partial attendance requirements in section 1111(c)(4)(F).

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the "Submitted Documentation File Name[s]" column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended SEA Participants: Federal programs, data, or accountability leads; Title I and Title III Director(s), and Program Attorney(s)

Subtopics:

- Long-term Goals
- Academic Achievement Indicator
- Recently-arrived English Learners
- Other Academic Indicator

- Graduation Rate Indicator
- Progress in Achieving English Language Proficiency Indicator
- School Quality or Student Success Indicator
- Partial Attendance
- Annual Meaningful Differentiation

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
Academic Achievement Indicator	<p>B1. Describe or submit business rules that describe how the SEA calculates the academic achievement indicator for proficiency for Federal Title I accountability purposes, including information that addresses:</p> <ul style="list-style-type: none"> • Inclusion of all schools and student subgroups that meet minimum n-size • The assessments used to calculate the indicator • How the indicator is calculated for all subgroups • How the indicator measures the performance of at least 95 percent of all students and 95 percent of all students in each subgroup • Participation rate calculation • If applicable, how the SEA calculates the indicator for middle and high schools regarding the 8th grade mathematics exception in ESEA section 1111(b)(2)(C) • If applicable, how the SEA implements exemptions for performance of recently arrived English learners from the indicator as allowed under ESEA section 1111(b)(3)(A) • If applicable, how the SEA includes the performance of former English learners in the indicator as allowed under ESEA section 1111(b)(3)(B) 	<p><i>Enter brief response here and/or identify responsive documentation</i></p>	
Academic Achievement Indicator	<p>B2. If applicable, describe or submit business rules that describe how the SEA calculates student academic growth and uses the results for the academic achievement indicator for high schools. Include information that addresses:</p>	<p><i>Not Applicable or enter brief response here and/or identify responsive documentation</i></p>	

	<ul style="list-style-type: none"> • Inclusion of all schools and student subgroups that meet minimum n-size • The assessments used to calculate the indicator • How the indicator is calculated for all subgroups • If applicable, how the SEA implements exemptions for performance of recently arrived English learners from the indicator as allowed under ESEA section 1111(b)(3)(A) • If applicable, how the SEA includes the performance of former English learners in the indicator as allowed under ESEA section 1111(b)(3)(B) 		
Other Academic Indicator	<p>B3. Describe or submit business rules that describe how the SEA calculates its other academic indicator for elementary and middle schools that are not high schools.</p> <p>If the SEA calculates student academic growth and uses the results for the other academic indicator, include information that addresses:</p> <ul style="list-style-type: none"> • Inclusion of all schools and student subgroups that meet minimum n-size • The assessments used to calculate the indicator • How the indicator is calculated for all subgroups 	<i>Enter brief response here and/or identify responsive documentation</i>	
Graduation Rate Indicator	<p>B4. Describe or submit business rules that describe how the SEA calculates the graduation rate indicator. Include information that addresses:</p> <ul style="list-style-type: none"> • Inclusion of all schools and student subgroups that meet minimum n-size • How the SEA calculates its four-year and, if applicable, extended-year adjusted cohort graduation rates (ACGRs) • If applicable, how the SEA combines the four-year ACGR with any extended year graduation rates. 	<i>Enter brief response here and/or identify responsive documentation</i>	
Graduation Rate Indicator	<p>B5. What is the SEA's definition of a regular high school diploma for purposes of calculating the ACGR?</p> <p>Suggested Documentation:</p>	<i>Enter brief response here and/or identify responsive documentation</i>	

	<ul style="list-style-type: none"> • Chart or public document identifying diploma types (including pathways, if applicable) and requirements for each 		
Graduation Rate Indicator	B6. If the SEA offers multiple diploma types, what are the requirements for each diploma type for which students are counted as graduates in the SEA's ACGR calculations?	<i>Enter brief response here and/or identify responsive documentation</i>	
Graduation Rate Indicator	<p>B7. If the SEA offers a State-defined alternate diploma for students with the most significant cognitive disabilities, what are the requirements for such a diploma?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • State requirements for alternate diploma • Guidance the SEA has provided to LEAs and schools regarding the State-defined alternate diploma, including student eligibility 	<i>Enter brief response here and/or identify responsive documentation</i>	
Graduation Rate Indicator	<p>B8. If the SEA offers a State-defined alternate diploma for students with the most significant cognitive disabilities, how does the SEA include the State-defined alternate diploma in its ACGR calculations?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Business rules for adjusting the graduation cohort to include students who receive the State's alternate diploma 	<i>Enter brief response here and/or identify responsive documentation</i>	
Graduation Rate Indicator	<p>B9. How does the SEA ensure that a student is removed from the cohort only in cases where a school or LEA has documentation that the student has transferred out to an educational setting where the student is expected to earn a regular high school diploma, emigrated to another country, transferred to prison or juvenile facility, or is deceased?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Sample documentation from LEAs of valid cohort removal • Guidance to LEAs regarding documentation required to remove a student from a cohort • Monitoring protocols 	<i>Enter brief response here and/or identify responsive documentation</i>	
Progress in Achieving English Language	B10. Describe or submit business rules that describe how the SEA calculates the progress in achieving English	<i>Enter brief response here and/or identify responsive documentation</i>	

Proficiency Indicator	<p>language proficiency indicator.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> SEA’s business rules for calculating the progress in achieving English language proficiency indicator 		
School Quality or Student Success Indicator	<p>B11. Describe or submit business rules that describe how the SEA calculates <i>each</i> school quality or student success indicator, including information that addresses the inclusion of all schools and student subgroups that meet minimum n-size.</p>	<i>Enter brief response here and/or identify responsive documentation for each indicator</i>	
School Quality or Student Success Indicator	<p>B12. Describe or present data that demonstrates how each school quality or student success indicator allows for meaningful differentiation of school performance.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> School-level results for each SQSS indicator 	<i>Enter brief response here and/or identify responsive documentation for each indicator</i>	
Partial Attendance	<p>B13. Describe how the SEA implements the partial attendance requirement in section 1111(c)(4)(F), which requires an SEA to include, in each indicator except graduation rate, only a student who has attended a school for at least half of a school year.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> A definition, business rules, or a procedure for determining which students to include 	<i>Enter brief response here and/or identify responsive documentation for each indicator</i>	
Annual Meaningful Differentiation	<p>B14. Describe the State’s procedures for and results of implementing annual meaningful differentiation for all elementary and secondary schools in the most recent iteration. (The State’s response should demonstrate: that all public elementary and secondary schools are included in the system; that the academic indicators (i.e., the indicators other than the School Quality or Student Success indicator(s)) each have significant weight and, collectively, have greater weight than the School Quality or Student Success indicator(s); and the rating or school identification category for each school.)</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Business rules for annually meaningfully 	<i>Enter brief response here and/or identify responsive documentation</i>	

	<p>differentiating among all public schools in the State. This should include information that:</p> <ul style="list-style-type: none"> ○ All public schools are included in the system ○ That the academic indicators (i.e., the indicators other than the School Quality or Student Success indicator(s)) each have significant weight and, collectively, have greater weight than the School Quality or Student Success indicator(s) ● The results of annual meaningful differentiation for all public elementary and secondary schools in the State including the rating for each school (if applicable) or school identification category 		
Annual Meaningful Differentiation	<p>B15. If applicable, describe or provide the State’s procedures for, and results of, the alternative methodology or methodologies for annual meaningful differentiation in cases where the school cannot be included using the regular accountability system and provide the list of schools that were included in the State’s system of annual meaningful differentiation using a “different methodology or methodologies.”</p>	<p><i>Not Applicable or enter brief response here and/or identify responsive documentation</i></p>	
Additional Documentation	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> ● Other documentation that would serve as evidence for the questions asked 		

C. Identification of Schools

ESEA

[§1111\(c\)\(4\)\(D\)](#)

[§1111\(c\)\(4\)\(C\)\(iii\)](#)

[§1111\(d\)\(2\)\(C\)-\(D\)](#)

[§1111\(d\)\(3\)\(A\)\(i\)\(II\)](#)

Description: An SEA shall identify schools for comprehensive or targeted support and improvement. With respect to schools identified for comprehensive support and improvement, identification shall occur at least once every three years and must result in the identification of a subset of schools that receive Comprehensive support, as required by the statute. The schools identified for comprehensive support and improvement must include: 1) not less than the lowest-performing 5 percent of schools receiving Title I, Part A funds, 2) all high schools with a graduation rate below 67 percent, and 3) schools that receive Title I, Part A funds that were previously identified for additional targeted support and have not exited such status after a State-determined number of years. In addition, an SEA must annually identify schools requiring targeted support and improvement based on having one or more consistently underperforming subgroups of students, as determined by the State. Finally, an SEA must identify all schools requiring additional targeted support based on having one or more subgroups performing as poorly as the all students group in the lowest-performing 5 percent of schools receiving Title I, Part A funds, and the frequency of identification of which is determined by the SEA. An SEA may also identify, in its discretion, additional statewide categories of schools.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended SEA Participants: Federal programs, data, school improvement and/or accountability leads; Title I Director

Subtopics:

- Notification
- Comprehensive Support and Improvement Schools (Lowest Performing)
- Comprehensive Support and Improvement Schools (Low Graduation Rates)
- Comprehensive Support and Improvement Schools (Receiving Additional Targeted Support Not Exiting Such Status)
- Targeted Support and Improvement Schools (One or More Consistently Underperforming Subgroups)
- Targeted Support and Improvement Schools (Additional Targeted Support)

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
----------	-----------	--------------	--------------------------------------

Notification	<p>C1. When did the State most recently notify all LEAs with newly identified schools for:</p> <ul style="list-style-type: none"> • Comprehensive support and improvement based on not less than the lowest performing 5 percent of Title I schools, • Comprehensive support and improvement based on graduation rates of less than 67 percent, • Comprehensive support and improvement based on not exiting additional targeted support and improvement status, • Targeted support and improvement based on having one or more consistently underperforming subgroups, and • Additional targeted support and improvement? <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Sample notifications to LEAs of schools identified for each category of school identification as described above 	<i>Enter brief response here and/or enter the appropriate date(s)</i>	
Notification	<p>C2. When will the State next notify all LEAs with newly identified schools for:</p> <ul style="list-style-type: none"> • Comprehensive support and improvement based on not less than the lowest performing 5 percent of Title I schools, • Comprehensive support and improvement based on graduation rates of less than 67 percent, • Comprehensive support and improvement based on not exiting additional targeted support and improvement status, • Targeted support and improvement based on having one or more consistently underperforming subgroups, and • Additional targeted support and improvement? 	<i>Enter brief response here and/or enter the appropriate date(s)</i>	
Comprehensive Support and Improvement	C3. What are the State’s procedures for identifying least the lowest-performing five percent of all Title I schools for comprehensive support and	<i>Enter brief response here</i>	

Schools (Lowest Performing)	improvement? Suggested Documentation: <ul style="list-style-type: none"> Business rules for identifying schools for comprehensive support and improvement 		
Comprehensive Support and Improvement Schools (Lowest Performing)	C4. How many total Title I schools were in the State for the most recent school year when comprehensive support and improvement (lowest performing) schools were identified?	<i>Insert number</i>	
Comprehensive Support and Improvement Schools (Lowest Performing)	C5. How many Title I schools were identified as lowest-performing schools for comprehensive support and improvement? Suggested Documentation: <ul style="list-style-type: none"> A list of the schools identified for comprehensive support and improvement (lowest performing) 	<i>Insert number</i>	
Comprehensive Support and Improvement Schools (Low Graduation Rates)	C6. What are the State's procedures for identifying all high schools based on graduation rates of less than 67 percent for comprehensive support and improvement? Suggested Documentation: <ul style="list-style-type: none"> List of all high schools (Title I and non-Title I) in the State with identification status rank ordered by graduation rate Business rules for identifying schools for comprehensive support and improvement (low graduation rates) 	<i>Enter brief response here and/or identify responsive documentation</i>	
Comprehensive Support and Improvement Schools (Receiving Additional Targeted Support Not Exiting Such Status)	C7. What are the State's procedures for identifying for comprehensive support and improvement those schools receiving additional targeted support that have not exited such status? Suggested Documentation: <ul style="list-style-type: none"> A list of the schools identified for comprehensive support and improvement based on not exiting additional targeted 	<i>Enter brief response here and/or identify responsive documentation</i>	

	<ul style="list-style-type: none"> support and improvement status Business rules for identifying for comprehensive support and improvement those schools identified for additional targeted support that have not exited such status 		
Targeted Support and Improvement Schools (Consistently Underperforming Subgroups)	<p>C8. What are the State’s procedures for annually identifying schools with one or more consistently underperforming subgroups for targeted support and improvement status?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> A list of schools identified for targeted support and improvement based on having one or more consistently underperforming subgroups Business rules for identifying schools for targeted support and improvement based on having one or more consistently underperforming subgroups 	<i>Enter brief response here and/or identify responsive documentation</i>	
Targeted Support and Improvement Schools (Additional Targeted Support)	<p>C9. What are the State’s procedures to identify schools for additional targeted support and improvement?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> List of the schools identified for additional targeted support and improvement Business rules for identifying schools for additional targeted support and improvement 	<i>Enter brief response here and/or identify responsive documentation</i>	
Additional Documentation	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> Other documentation that would serve as evidence for the questions asked 		

D. Support for School Improvement

ESEA

[§1003\(b\)-\(f\)](#)

[§1111\(d\)\(1\)-\(2\)](#)

[§1111\(d\)\(3\)\(A\)](#)

Description: Upon receiving notification from the State, an LEA shall, for each school identified by the State and in partnership with stakeholders, develop and implement a comprehensive support and improvement plan. Comprehensive support and improvement plans must be informed by all applicable indicators, be based on school-level needs assessments, incorporate evidence-based interventions, identify resource inequities, and include strategies to address those identified resource inequities. Comprehensive support and improvement plans must be approved by the school, LEA, and SEA. Upon approval and implementation, a comprehensive support and improvement plan must be monitored and periodically reviewed by the SEA. The SEA shall notify an LEA of any school served by the LEA that is identified for targeted support and improvement, and the LEA shall notify such identified schools. An SEA shall ensure LEAs serving targeted support and improvement schools oversee such schools in developing and implementing targeted support and improvement plans. Targeted support and improvement plans must be developed in partnership with stakeholders, and approved by the LEA. Targeted Support and Improvement plans shall be informed by all applicable indicators, incorporate evidence-based interventions, and shall result in additional action following unsuccessful implementation after a number of years determined by the LEA. If a school is identified for additional targeted support, an LEA shall ensure that the school's targeted support and improvement plan also identifies resource inequities to be addressed through targeted support and improvement plan implementation. Upon approval and implementation, a targeted support and improvement plan (including a targeted support and improvement plan for a school identified for additional targeted support) must be monitored by the LEA.

An SEA must establish statewide exit criteria for schools identified for comprehensive support and improvement, which, if not satisfied within a State-determined number of years (not to exceed four years), must result in more rigorous State-determined action. An SEA must also establish statewide exit criteria for schools that receive additional targeted support and improvement. Periodically, an SEA must review resource allocation to support school improvement in each LEA serving a significant number of schools identified for comprehensive, targeted, or additional targeted support and improvement and must provide technical assistance to each LEA serving a significant number of schools identified for comprehensive, targeted or additional targeted support and improvement.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the "Submitted Documentation File Name[s]" column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended SEA Participants: Title I Director, and School Improvement Team

Subtopics:

- Comprehensive Support and Improvement Plans
- Targeted Support and Improvement Plans
- Evidence-based Interventions

- Exit Criteria
- More Rigorous State-determined Actions
- Continued Support for School and LEA Improvement
- Technical Assistance
- Resource Allocation Review

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
Comprehensive Support and Improvement Plans	<p>D1. Submit two SEA-approved comprehensive support and improvement plans and briefly describe the SEA’s process for reviewing and approving every comprehensive support and improvement plan. This includes ensuring that each plan:</p> <ol style="list-style-type: none"> 1. Is developed in partnership with stakeholders; 2. Is informed by all indicators; 3. Includes evidence-based interventions; 4. Is based on a school-level needs assessment; 5. Identifies resource inequities to be addressed in the plan, which may include a review of LEA and school-level budgeting; and 6. Is approved by the school and LEA. <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Comprehensive support and improvement plan template, if available • Process and timeline for the review and approval of comprehensive support and improvement plans, • Guidance to LEAs for the development of comprehensive support and improvement plans 	<i>Enter brief response here and identify responsive documentation</i>	
Comprehensive Support and Improvement Plans	<p>D2. Describe how the SEA monitors and periodically reviews the implementation of comprehensive support and improvement plans.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol for monitoring LEA responsibilities with respect to 	<i>Enter brief response here and/or identify responsive documentation</i>	

	<p>comprehensive support and improvement plans</p> <ul style="list-style-type: none"> • SEA timeline for monitoring LEA responsibilities with respect to comprehensive support and improvement schools • Sample monitoring reports 		
Targeted Support and Improvement Plans	<p>D3. Describe how the SEA ensures LEAs:</p> <ol style="list-style-type: none"> 1. Review and approve targeted support and improvement plans (i.e., for schools identified for targeted or additional targeted support and improvement) and 2. Monitor implementation of targeted support and improvement plans. <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Two LEA-approved targeted support and improvement plans for schools identified for <u>targeted support and improvement</u>, serving different grade spans • Targeted support and improvement plan template • Two LEA-approved targeted support and improvement plans for schools identified for <u>additional targeted support and improvement</u> serving different grade spans • Additional targeted support and improvement plan template • Guidance to LEAs • Training materials • SEA monitoring protocols 	<i>Enter brief response here and/or identify responsive documentation</i>	
Targeted Support and Improvement Plans	<p>D4. Describe how the SEA ensures LEAs take additional action following unsuccessful implementation of a targeted support and improvement plan (i.e., for schools identified for targeted or non-Title I additional targeted support and improvement) after a number of years determined by the LEA.</p> <p>Suggested Documentation:</p>	<i>Enter brief response here and/or identify responsive documentation</i>	

	<ul style="list-style-type: none"> • Guidance to LEAs • Training materials • SEA monitoring protocols 		
Evidence-based Interventions	<p>D5. Describe how the SEA determines that an intervention is evidence-based for use in use in comprehensive, targeted, or additional targeted support and improvement plans.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Examples of evidence-based interventions in use in comprehensive support and improvement or targeted support and improvement schools • List provided by the State to LEAs and schools of evidence-based strategies or interventions 		
Evidence-based Interventions	<p>D6. Identify examples of evidence-based interventions currently in use in comprehensive, targeted, or additional targeted support and improvement plans</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Examples of evidence-based interventions in use in comprehensive support and improvement or targeted support and improvement schools 	<i>Enter brief response here and/or identify responsive documentation</i>	
Exit Criteria	<p>D7. Describe the State’s procedures for determining whether a school identified for comprehensive support and improvement has met exit criteria and provide a list of schools that met exit criteria in the most recent school year. This should include evidence that the schools that exit made continued progress to improve student academic achievement and school success.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Business rules for determining whether a school identified for comprehensive support and improvement has met exit criteria • Data showing the progress schools that exited have made 	<i>Enter brief response here and/or identify responsive documentation</i>	
Exit Criteria	<p>D8. Describe the State’s procedures for determining whether a school identified for additional targeted</p>	<i>Enter brief response here and/or identify responsive documentation</i>	

	<p>support and improvement has met exit criteria and provide a list of schools that met exit criteria in the most recent school year. This should include evidence that the schools that exit made continued progress to improve student academic achievement and school success.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Business rules for determining whether a school identified for additional targeted support and improvement has met exit criteria • Data showing the progress schools that exited have made 		
More Rigorous State-determined Actions	<p>D9. What more rigorous State-determined actions has the SEA required for schools identified for comprehensive support and improvement that fail to meet statewide exit criteria after a State-determined number of years?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • List of schools that have failed to meet statewide exit criteria after a State-determined number of years • More rigorous actions taken for those schools 	<i>Enter brief response here and/or identify responsive documentation</i>	
Technical Assistance	<p>D10. Describe the technical assistance the SEA provides to LEAs serving a significant number of schools implementing comprehensive, targeted, or additional targeted support and improvement plans.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • A list of LEAs that received technical assistance in the most recent/current school year because they have a significant number or percentage of identified schools as described above • The State’s methodology for determining if an LEA serves a significant number of identified schools 	<i>Enter brief response here and/or identify responsive documentation</i>	

Resource Allocation Review	<p>D11. Describe how the SEA periodically reviews resource allocation to support school improvement in each LEA serving a significant number or percentage of schools identified for:</p> <ul style="list-style-type: none"> • Comprehensive support and improvement or • Targeted and additional targeted support and improvement. <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Protocol or procedures for periodically reviewing resource allocation for LEAs serving a significant number of identified schools as described above, including what “resources” were reviewed (e.g., specific fiscal resources, staffing resources, instructional resources • A list of LEAs that participated in the resource allocation review in the most recent/current school year because they have a significant number or percentage of identified schools as described above 	<p><i>Enter brief response here and/or identify responsive documentation</i></p>	
Additional Documentation	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Other documentation that would serve as evidence for the questions asked 		

E. 1003 School Improvement

ESEA

[§1003](#)

[§1111\(d\)\(1\)-\(2\)](#)

[§8101\(21\)\(B\)](#)

Description: An SEA shall allocate and oversee the administration of 1003 school improvement subgrants, so that LEAs and schools can effectively develop and implement comprehensive support and improvement and targeted support and improvement plans. The SEA must also conduct a rigorous review of 1003(a) subgrant applications to ensure that LEAs include all required elements. An SEA shall also ensure that “evidence-based” interventions, improvement activities, or strategies paid for with section 1003 funds are based on strong, moderate, or promising evidence of a statistically significant effect on improving student outcomes or other relevant outcomes.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended SEA Participants: Title I, School Improvement Team, and Program Attorney(s)

Subtopics:

- 1003 School Improvement

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
1003 School Improvement	<p>E1. Did the SEA award subgrants under ESEA section 1003 to LEAs in the preceding year to serve schools implementing comprehensive support and improvement activities or targeted support and improvement activities through a formula, competition, or a combination of these approaches?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • A list of schools or link to the State report card that lists all LEAs and schools that received 	<i>Choose an item.</i>	

	<p>funds under this section, including the amount of funds each school received and the types of strategies implemented in each school with such funds</p> <ul style="list-style-type: none"> • Documentation that demonstrates the SEA’s formula funding approach such as an application excerpt describing formula, if applicable • Documentation that demonstrates the SEA’s competition funding approach such as competition announcement or award memo, if applicable • Documentation described in the two bullets above that demonstrates the SEA’s combination funding approach, if applicable 		
1003 School Improvement	<p>E2. Describe the SEA’s application, application review process, and guidance to LEAs, including how the application process meets the requirements in ESEA section 1003(e).</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA’s process to review and approve applications • SEA 1003 application scoring rubric • Copy of the 1003 application from at least two LEAs along with scoring rubrics from the SEA’s review • SEA guidance to LEAs regarding the application process 	<i>Enter brief response here</i>	
1003 School Improvement	<p>E3. In making subgrants, how does the SEA</p> <ul style="list-style-type: none"> • Take the geographic diversity of the State into account and • Ensure that LEA subgrants are of sufficient size and duration to enable the effective implementation of selected strategies? <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • A copy of SEA guidance or invitation for applications that describes possible award sizes 	<i>Enter brief response here</i>	

1003 School Improvement	<p>E4. How does the SEA monitor and evaluate LEAs' use of section 1003 funds?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Monitoring schedule and protocol 	<i>Enter brief response here</i>	
1003 School Improvement	<p>E5. How does the SEA's method of allocating section 1003 subgrants give priority to LEAs that</p> <ol style="list-style-type: none"> 1. Serve high numbers, or a high percentage, of elementary schools and secondary schools implementing comprehensive support and improvement and targeted support and improvement plans, 2. Demonstrate the greatest need for section 1003 funds, <i>and</i> 3. Demonstrate the strongest commitment to using section 1003 funds to enable the lowest-performing schools to improve student achievement and student outcomes? <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Documentation that demonstrates the SEA's process for determining "strongest commitment" and "greatest need" 	<i>Enter brief response here</i>	
1003 School Improvement	<p>E6. What percentage of funds reserved under ESEA section 1003(a) did the SEA allocate to LEA subgrants?</p>	<i>Enter brief response here</i>	
1003 School Improvement	<p>E7. Did the SEA retain over five percent of the section 1003 administrative reservation, with the approval of individual LEAs to directly provide comprehensive, targeted, or additional support and improvement activities or arrange for activities through other entities as described in ESEA section 1003(b)(1)(B)?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Process for requesting approval of LEAs and documentation of approval by individual LEAs If the SEA uses an outside entity, documentation of the process to identify and approve such entities 	<i>Choose an item.</i>	

1003 School Improvement	E8. If yes to the question above and the SEA provides services directly or through another entity, how does the SEA ensure external providers have expertise in implementing the evidence-based intervention that they will implement in schools identified for comprehensive, targeted, or additional targeted support and improvement?	<i>Enter brief response here</i>	
1003 School Improvement	E9. How did the SEA use section 1003 funds not allocated to LEAs (e.g., administrative activities such as monitoring, grant competition, SEA personnel salaries for administering section 1003)?	<i>Enter brief response here</i>	
1003 School Improvement	E10. What was the total length of the section 1003 subgrants awarded to LEAs? Did the grant period include a planning year?	<i>Enter brief response here</i>	
1003 School Improvement	E11. How does the SEA ensure that evidence-based interventions funded with 1003(a) funds are based on strong, moderate, or promising evidence of a statistically significant effect on improving student outcomes or other relevant outcomes?	<i>Enter brief response here</i>	
1003 School Improvement	E12. Describe how SEA reduced barriers and provided operational flexibility for schools implementing comprehensive support and improvement and targeted support and improvement activities.	<i>Enter brief response here</i>	
Additional Documentation	Suggested Documentation: <ul style="list-style-type: none"> • Other documentation that would serve as evidence for the questions asked 		

F. State and Local Report Cards

ESEA
[§1003\(i\)](#)
[§1111\(g\)\(2\)\(N\)](#)
[§1111\(h\)](#)
[§8101 \(23\) and \(25\)](#)

Title I Regulations
[34 CFR §200.11](#)

Description: An SEA and its LEAs are required to prepare and annually disseminate report cards that include all required elements to the public in a timely manner. In preparing and disseminating report cards, an SEA and its LEAs must also follow student subgroup disaggregation reporting requirements.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended SEA Participants: Chief Information Officer /Director of Information Management (or designated representative), Assessment Director, EDFacts Coordinator, Title I (including §1003), Title II, and Title III Program Directors

Subtopics:

- Process for Timely Reporting
- Data Publication

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
Process for Timely Reporting	F1. When did the SEA most recently publish the State report card and LEA report cards?	<i>Enter brief response here</i>	
Process for Timely Reporting	F2. When does the SEA anticipate publishing the State report card and LEA report cards for the next school year?	<i>Enter brief response here</i>	

Process for Timely Reporting	<p>F3. Does the SEA or LEA prepare local report cards?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> If the LEA prepares report cards, guidance from the SEA on requirements 	<i>Choose an item.</i>	
Process for Timely Reporting	<p>F4. Provide the website address where the State report card is made publicly available for the two most recent school years available and indicate the year of data included.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Website addresses to the SEA and three (3) LEA report cards, including for LEAs included in this review for the two most recent school years available 	<i>Enter brief response here</i>	
Data Publication	<p>F5. How are the report cards provided in a format and, to the extent practicable, in a language that can be understood by:</p> <ul style="list-style-type: none"> Parents and family members who have limited English proficiency? Parents and family members with disabilities? Parents and family members of migratory children? 	<i>Enter brief response here</i>	
Data Publication	<p>F6. How does the SEA ensure that data are reported in a manner that protects the privacy of individuals and does not reveal personally identifiable information?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> SEA business rules for applying its minimum N-size SEA business rules for suppression of data Sample report cards with data suppressed 	<i>Enter brief response here</i>	
Data Publication	<p>F7. Please complete the State and local report card checklist below. For any required data not included on the SEA or LEA report cards, list the data element and outline the SEA's plan and timeline for reporting the data.</p>	<i>Enter brief response here</i>	

Data Publication	F8. For which fiscal year does the most recently published report card include per-pupil expenditure information?	<i>Enter brief response here</i>	
Additional Documentation	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> Other documentation that would serve as evidence for the questions asked 		

State and Local Report Card Checklist

Provide the links where the following data elements can be found for the most recent State and local report cards.

- If steps are needed to view the data at the link, provide the steps after the link (e.g., use dropdown menu to select subgroups, click on XYZ to generate report)
- If applicable, identify any data elements (e.g., subgroup disaggregation) not included in the relevant rows.

The first column indicates the report card element; the second column indicates the disaggregation required for each element; and the third column indicates whether an element must be reported at the State, LEA, and/or school levels. Gray boxes in the third column indicate elements that are not required. Subsections within the second column indicate when disaggregation requirements differ between State, LEA, and individual school report cards. Similarly, bullets within the first column indicate when information required at the State, LEA, and school levels vary.

This checklist uses the following abbreviations for student subgroups:

- ALL = All students
- MREG = Each major racial and ethnic group
- CWD = Children with disabilities
- CWOD = Children without disabilities
- ELL = English learners
- ECD = Economically disadvantaged students
- Non-ECD = Students not economically disadvantaged
- GEN = Gender
- MIG = Migrant students
- HOM = Homeless children and youth
- FOS = Children in foster care
- AFD = Students with a parent who is a member of the Armed Forces (as defined in section 101(a)(4) of title 10, United States Code)

Element	Disaggregation & Reporting Level	Link to State Report Card	Link to LEA Report Card	Link to School-level Data
<p>ESEA Section 1111(h)(1)(C)(ii) Student achievement data (e.g., the number or percentage of students at each level of achievement on the State mathematics, reading/ language arts, and science assessments)</p> <ul style="list-style-type: none"> ○ LEA: Including how achievement in the LEA compares to the State as a whole ○ Schools: Including how achievement in the school compares to the LEA and the State as a whole 	ALL, MREG, CWD, CWOD, ELL, ECD, Non-ECD, GEN, MIG, HOM, FOS, AFD			
<p>ESEA Section 1111(h)(1)(C)(vii) Percentages of students assessed and not assessed in each subject (i.e., participation rates)</p>	ALL, MREG, CWD, CWOD, ELL, ECD, Non-ECD, GEN, MIG			
<p>ESEA Section 1111(h)(1)(C)(xi) Extent of use of alternate assessment aligned with alternate academic achievement standards (AA-AAAS) for students with the most significant cognitive disabilities (i.e., number and percentage of students assessed on AAAA-AS, by grade and subject)</p>	Not applicable			
<p>ESEA Section 1111(h)(1)(C)(iv) English language proficiency of English learners (i.e., number and percentage of English learners achieving English language proficiency as measured by the State’s English proficiency assessment)</p>	Not applicable			
<p>34 C.F.R. § 200.6(i)(1)(iii) As applicable, number of recently arrived English learners exempted from one administration of the reading/language arts assessments or whose results are excluded from certain State accountability system indicators</p>	Not applicable			
<p>ESEA Section 1111(h)(1)(C)(iii)(II) High school graduation rates</p> <ul style="list-style-type: none"> ○ Four-year adjusted cohort ○ Extended-year adjusted cohort (if State chooses) 	ALL, MREG, CWD, ELL, ECD, HOM, FOS			
<p>ESEA Section 1111(h)(1)(C)(vi) Progress toward State-designed long-term goals, including measurements of interim progress for academic achievement, graduation rates, and progress toward achieving English language proficiency</p>	ALL, MREG, CWD, ELL, ECD			
<p>ESEA Section 1111(h)(1)(C)(iii)(I) Performance on the Other Academic indicator used in the State accountability system</p>	ALL, MREG, CWD, ELL, ECD			

Element	Disaggregation & Reporting Level	Link to State Report Card	Link to LEA Report Card	Link to School-level Data
ESEA Section 1111(h)(1)(C)(v) Performance on the School Quality or Student Success indicator(s) used in the State accountability system	ALL, MREG, CWD, ELL, ECD			
ESEA Section 1111(h)(1)(C)(xiii) Postsecondary enrollment rates for each high school (if available) <ul style="list-style-type: none"> ○ Public postsecondary institutions ○ Private and out-of-state postsecondary institutions 	ALL, MREG, CWD, ELL, ECD			
ESEA Section 1111(h)(1)(C)(ix) Educator qualifications <ul style="list-style-type: none"> ○ Inexperienced ○ With emergency/provisional credentials ○ Not teaching in subject/field of certification/licensure 	SEA and LEA: High- and low-poverty schools			
ESEA Section 1111(h)(1)(C)(x) Per-pupil expenditures, including actual personnel and actual non-personnel expenditures, for each LEA and each school <ul style="list-style-type: none"> ○ In aggregate ○ Disaggregated: <ul style="list-style-type: none"> ○ Federal ○ State/local 	LEA and School			
ESEA Section 1003(i) Information on school improvement funds under ESEA section 1003 by LEA and school <ul style="list-style-type: none"> ○ Names of LEAs and schools receiving school improvement funds ○ Amount of funds received by each school ○ Types of strategies implemented in each school 	Not applicable			
ESEA Section 1111(h)(1)(C)(xii) State performance on the NAEP – mathematics and reading, grades 4 and 8; statewide NAEP participation rates for children with disabilities and English learners	SEA: ALL, MREG, CWD, ELL, ECD LEA: All Statewide			
ESEA Section 1111(h)(1)(C)(i)(V) Number and names of all schools identified for: <ul style="list-style-type: none"> ○ Comprehensive support and improvement ○ Targeted support and improvement ○ Additional targeted support and improvement 	Not applicable			

Element	Disaggregation & Reporting Level	Link to State Report Card	Link to LEA Report Card	Link to School-level Data
<p>ESEA Section 1111(h)(1)(C)(i)(I)-(IV) Clear and concise description of State accountability system</p> <ul style="list-style-type: none"> ○ Minimum number of students (i.e., n-size) for use in accountability system ○ Long-term goals ○ Measurements of interim progress ○ Indicators to meaningfully differentiate all public schools in the State ○ System for meaningful differentiation among schools <ul style="list-style-type: none"> ○ Specific weight of the accountability indicators ○ Method of identifying schools as consistently underperforming, including time period the State uses to determine consistent underperformance ○ Method of identifying schools for comprehensive support and improvement <p>ESEA Section 1111(h)(1)(C)(i)(VI) Exit criteria established by the State for (1) schools identified for comprehensive support and improvement and (2) schools identified for additional targeted support and improvement, including the number of years after which, if the exit criteria are not satisfied, in the case of Title I schools, such schools will be identified for comprehensive support and improvement</p>	Not applicable			
<p>ESEA Section 1111(h)(1)(C)(viii)(I) CRDC Data: School climate</p> <ul style="list-style-type: none"> ○ In-school suspensions ○ Out-of-school suspensions ○ Expulsions ○ School-related arrests ○ Referral to law enforcement ○ Chronic absenteeism (excused and unexcused) ○ Incidents of violence (including bullying and harassment) 	ALL, MREG, CWD, ELL, GEN			
<p>ESEA Section 1111(h)(1)(C)(viii)(II) Other CRDC indicators</p> <ul style="list-style-type: none"> ○ Number of students enrolled in preschool programs ○ Number and percentage of students enrolled in accelerated coursework (e.g., Advanced Placement and International Baccalaureate) 	ALL, MREG, CWD, ELL, GEN			

G. Schoolwide Programs

ESEA
[§1114](#)

Title I Regulations
[34 CFR §200.25-200.29](#)

Description: A Title I schoolwide program is a comprehensive reform strategy designed to upgrade the educational program of a Title I school in order to improve the achievement of the lowest-achieving students. An LEA may operate a schoolwide program in a Title I school with 40 percent or more of its students living in poverty. In addition, an SEA has discretion to grant a waiver to allow an LEA to operate a schoolwide program without meeting the 40 percent poverty threshold if the SEA has determined that a schoolwide program will best serve the needs of low-achieving students in the school.

A school implementing a Title I schoolwide program must conduct a comprehensive needs assessment of the entire school, prepare a comprehensive schoolwide plan, and regularly review the schoolwide plan. To better leverage all available funding, a schoolwide program school has the flexibility to consolidate funds from Title I and other Federal educational programs with State and local funds. To support the effective implementation of schoolwide programs, States must eliminate or modify State and local fiscal accounting requirements so that LEAs can consolidate funds under schoolwide programs.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended Participants: Fiscal staff, as well as program staff from affected programs

Subtopics:

- Eliminating or Modifying Fiscal Barriers
- Consolidation of Federal program funds and recordkeeping
- Schoolwide Program Plans
- Schoolwide Programs
- Monitoring
- Waivers

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
Eliminating or Modifying Fiscal Barriers	<p>G1. What actions, such as providing technical assistance, has the SEA taken to remove or eliminate barriers to schools consolidating funds in a schoolwide program?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Guidance from the SEA to LEAs and schools regarding consolidation of federal program funds and recordkeeping 	<i>Enter brief response here</i>	
Consolidation of Federal program funds and recordkeeping	<p>G2. For schools that consolidate federal program funds and do not separate fiscal accounting records by program, how does the SEA ensure that a school's schoolwide program, considered as a whole, addresses the intent and purposes of each of the Federal programs that were consolidated to support the schoolwide program?</p>	<i>Enter brief response here</i>	
Schoolwide Program Plans	<p>G3. Submit two schoolwide program plans and describe the process(es) the SEA uses to ensure that schoolwide program plans meet the requirements in ESEA section 1114(b), which includes among other requirements that they are:</p> <ul style="list-style-type: none"> Developed based on a comprehensive needs assessment that particularly takes into account the needs of children who are failing or at-risk of failing to meet challenging State academic standards Developed with the involvement of parents, individuals who will carry out such a plan, and other stakeholders Include a description of the strategies the school will implement to address school needs as outlined in ESEA section 1114(b)(7)(a) <p>Suggested Documentation:</p> <ul style="list-style-type: none"> SEA communications with LEAs regarding the requirement for schoolwide program plans 	<i>Enter brief response here</i>	

<p>Schoolwide Programs</p>	<p>G4. What information or guidance does the SEA provide to LEAs and schools regarding the following provisions for schools operating schoolwide programs:</p> <ul style="list-style-type: none"> • Preschool programs — Under ESEA section 1114(c), a school that operates a schoolwide program may use Title I, Part A funds to establish or enhance preschool programs for children who are under 6 years of age; • Delivery of services —Under ESEA section 1114(d), the services of a schoolwide program may be delivered by nonprofit or for-profit external providers with expertise in using evidence-based or other effective strategies to improve student achievement; and • Use of funds for dual or concurrent enrollment programs — Under ESEA section 1114(e), a secondary school operating a schoolwide program may use Title I, Part A funds to operate dual or concurrent enrollment programs that address the needs of low-achieving secondary school students and those at risk of not meeting the challenging State academic standards? <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA guidance or communications with LEAs regarding the requirements for schoolwide program plans 	<p><i>Enter brief response here</i></p>	
<p>Delivery of Services</p>	<p>G5. How does the SEA ensure that LEAs and schools implementing schoolwide programs that use nonprofit or for-profit external providers to deliver services demonstrate expertise in using evidence-based or other effective strategies to improve student achievement?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol and plan for the current year • SEA guidance or communications with LEAs regarding the requirements for schoolwide program plans 	<p><i>Enter brief response here</i></p>	

Monitoring	<p>G6. Describe the processes the SEA uses to ensure that schoolwide program plans are regularly monitored and revised on an ongoing basis as needed.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol and monitoring plan for the current year • SEA communications with LEAs regarding schoolwide program plan requirements, including, for example, monitoring reports or monitoring templates 	<i>Enter brief response here</i>	
Waivers	<p>G7. Has the SEA granted any waivers to permit a Title I school in which less than 40 percent of children are from low-income families to operate a schoolwide program? Indicate either None or the number of waivers the SEA has in place in the current or most recent school year.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Guidance for a school interested in a waiver and/or description of the process for a school to request such a waiver. • Sample waiver approval letter to an LEA. 	<i>Choose an item.</i>	
Waivers	<p>G8. If yes to the above question, how many waivers does the SEA have in place in the current or most recent school year?</p>	<i>Enter number</i>	
Waivers	<p>G9. If so, in determining whether to grant a waiver, how does the SEA take into account how a schoolwide program will best serve the needs of the students in the school served under Title I, Part A?</p>	<i>Enter brief response here</i>	
Additional Documentation	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Other documentation that would serve as evidence for the questions asked 		

H. Targeted Assistance Programs

ESEA
[§1115](#)

Description: A Title I targeted assistance program is a strategy in schools receiving funding under Title I Part A and not operating schoolwide programs, which serves the eligible children identified as having the greatest need for special assistance in order for those children to meet the challenging State academic standards. An LEA may operate a targeted assistance program in a school or schools that are ineligible for a schoolwide program, have not received a waiver to operate such a schoolwide program, or choose not to operate a schoolwide program. All schools implementing targeted assistance programs must determine which students will be served and serve participating students identified as eligible children under section 1115(c).

A school implementing a Title I targeted assistance program must serve participating students by using resources to help eligible children meet the challenging State academic standards, use methods to strengthen the academic program to the school, and coordinate with and support the regular education program. To better implement these activities, a targeted assistance program school must provide professional development to appropriate staff, implement strategies to increase the involvement of parents of eligible children, coordinate and integrate applicable Federal, State, and local services and programs, and provide certain assurances. Lastly, targeted assistance program services may be delivered by nonprofit or for-profit external providers with expertise in using evidence-based or other effective strategies to improve student achievement.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended Participants: Fiscal staff, as well as program staff from affected programs

Subtopics:

- Targeted Assistance School Programs
- Eligible Students
- Integration of Professional Development
- Comprehensive Services
- Delivery of Services

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
----------	-----------	--------------	--------------------------------------

Targeted Assistance School Programs	H1. Provide the number of schools in the State that are operating targeted assistance programs and, if available, submit two targeted assistance program plans.	<i>Enter number</i>	
Targeted Assistance School Programs	<p>H2. What support does the SEA provide to LEAs and schools implementing targeted assistance programs for</p> <ul style="list-style-type: none"> • Planning, implementing and improving targeted assistance programs; • Identifying eligible children; • Using Title I, Part A resources to help eligible children meet the challenging State academic standards • Using Title I, Part A resources for comprehensive services (e.g., health, nutrition, and other social services that may be provided through a targeted assistance program as a last resort) as allowed in ESEA section 1115(e)(2)? <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA guidance to LEAs regarding targeted assistance plans 	<i>Enter brief response here</i>	
Targeted Assistance School Programs	<p>H3. How does the SEA ensure that a school operating a targeted assistance program implements the following assurances that the school will:</p> <ul style="list-style-type: none"> • Help provide an accelerated, high-quality curricula; • Minimize the removal of children from the regular classroom during regular school hours for instruction provided under this part; and • On an ongoing basis, review the progress of eligible children and revise the targeted assistance program under this section, if necessary, to provide additional assistance to enable such children to meet the challenging State academic standards? <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol and plan for the current year 	<i>Enter brief response here</i>	

Monitoring	<p>H4. Describe how the SEA ensures that the progress of eligible children is reviewed and targeted assistance programs are revised, if necessary, on an ongoing basis.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol and plan for the current year • SEA guidance or communications with LEAs regarding the requirements for targeted assistance program plans 	<i>Enter brief response here</i>	
Eligible Students	<p>H5. How does the SEA ensure that LEAs establish multiple, educationally related, objective criteria to identify children in grades 3 and above as failing or most at-risk of failing to meet the challenging State academic standards and criteria, including objective criteria, to identify children from preschool through grade 2?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol and plan for the current year • SEA guidance or communications with LEAs regarding the requirements for identifying eligible children 	<i>Enter brief response here</i>	
Integration of Professional Development	<p>H6. How does the SEA use to ensure that LEAs and schools implementing targeted assistance programs require that Title I Part A staff spend the same proportion of total work time on limited duties assigned to similar non-Title I personnel as the proportion that non-Title I staff spend on such duties?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol and plan for the current year • SEA guidance or communications with LEAs regarding the requirements for targeted assistance program plans 	<i>Enter brief response here</i>	
Comprehensive Services	<p>H7. How does the SEA ensure that a school implementing targeted assistance program uses Title I, Part A funds for “comprehensive services” only if the school has (a) engaged in a comprehensive needs assessment, and (b)</p>	<i>Enter brief response here</i>	

	<p>funds are not reasonably available from other sources to provide such services?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol and plan for the current year • SEA guidance or communications with LEAs regarding the requirements for targeted assistance program plans 		
Delivery of Services	<p>H8. How does the SEA ensure that LEAs and schools implementing targeted assistance programs that use nonprofit or for-profit external providers to deliver services demonstrate expertise in using evidence-based or other effective strategies to improve student achievement?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol and plan for the current year • SEA guidance or communications with LEAs regarding the requirements for targeted assistance program plans 	<i>Enter brief response here</i>	
Additional Documentation	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Other documentation that would serve as evidence for the questions asked 		

I. Parent and Family Engagement

ESEA

[§1111\(g\)\(2\)\(F\)](#)

[§1112\(e\)](#)

[§1116](#)

[§8101\(39\)](#)

Description: An LEA that receives Title I, Part A funds must notify parents that they may request information on teacher and paraprofessional qualifications. Additionally, an LEA must provide parents with information regarding student academic achievement and growth, testing transparency, information regarding the State or LEA policy for student participation in any assessments and additional information. An LEA receiving Title I funds must also conduct outreach to parents and family members and implement parent and family programs and activities, which must be planned and implemented in consultation with parents. An SEA must collect and disseminate to LEAs effective parent and family engagement strategies.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended Participants: Title I Program Director and SEA Family Engagement Representative, if available

Subtopics:

- Technical Assistance
- Monitoring
- Consultation
- Fiscal
- Notification

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
Technical Assistance	I1. What guidance does the SEA provide to LEAs regarding requirements for LEA parent engagement plans, school parent and family engagement policies, and school-parent compacts? Suggested Documentation:	<i>Enter brief response here</i>	

	<ul style="list-style-type: none"> Guidance regarding parent and family engagement requirements 		
Technical Assistance	<p>12. How does the SEA collect and disseminate to LEAs effective parent and family engagement strategies?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Sample communication, toolkits, or professional learning documents regarding effective parent and family engagement strategies 	<i>Enter brief response here</i>	
Monitoring	<p>13. How does the SEA review the LEA parent and family engagement policies to ensure they meet the requirements of section 1116(a)(2) and that intended uses of funds are allowable?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Process to review LEA parent and family engagement policies If applicable, SEA template for LEA parent and family engagement policies Samples of requested evidence, communication, or feedback (e.g., monitoring report) to LEAs regarding the SEA's review of their parent and family engagement policies 	<i>Enter brief response here</i>	
Monitoring	<p>14. How does the SEA ensure that Title I school, parent and family engagement policies meet the requirements of section 1116(b) and that intended uses of funds are allowable?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Guidance to LEAs regarding requirements for school parent and family engagement policies If applicable, SEA template for Title I school parent and family engagement policies 	<i>Enter brief response here</i>	
Consultation	<p>15. In the review of the LEA's parent and family engagement policies and practices, how does the SEA ensure that the LEA's parent and family engagement policies provides opportunities for the participation of all parents and family members (including parents and</p>	<i>Enter brief response here</i>	

	<p>family members who have limited English proficiency, parents and family members with disabilities, and parents and family members of migratory children) and provides information and school reports, in a format and, to the extent practicable, in a language that parents understand?</p>		
Fiscal	<p>16. How does the SEA ensure that each LEA reserves at least 1 percent of its allocation under Title I to assist schools to carry out parent and family engagement activities, unless such reservation for the fiscal year for which the determination is made would be \$5,000 or less?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Guidance to LEAs regarding reservations for parent and family engagement and/or evidence of reservation in LEA applications and process for approval. • Evidence of monitoring LEAs related to reservations for parent and family engagement 	<i>Enter brief response here</i>	
Fiscal	<p>17. How does the SEA ensure that each LEA that reserves at least 1 percent of its Title I, Part allocation (i.e., each LEA for which 1 percent of its allocation is more than \$5,000) distributes not less than 90 percent of those reserved funds to Title I schools with priority given to high-need schools?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Guidance to LEAs regarding reservations for parent and family engagement • Evidence of monitoring LEAs related to reservations for parent and family engagement 	<i>Enter brief response here</i>	
Fiscal	<p>18. How does the SEA ensure that an LEA carries out activities and strategies consistent with the LEA's parent and family engagement policy and allowable uses of funds?</p> <p>Suggested Documentation:</p>	<i>Enter brief response here</i>	

	<ul style="list-style-type: none"> • Budget review checklist • SEA monitoring protocols 		
Notification	<p>19. Describe the SEA's process for ensuring that each LEA provides:</p> <ul style="list-style-type: none"> • Timely notice that a student in a school served under Title I, Part A has been taught for 4 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. • Information to parents on the level of achievement and, as applicable and available, student growth on each of the State academic assessments required under Title I, Part A for each student in a school served under Title I, Part A. • Information to parents if parents request information for, at a minimum, the qualifications of the student's classroom teacher, including: <ul style="list-style-type: none"> ○ Whether the teacher: <ul style="list-style-type: none"> ▪ Has met State qualification and licensing criteria for the grade levels and subject areas in which the teacher provides instruction; ▪ Is teaching under emergency or other provisional status through which State qualification or licensing criteria have been waived; and ▪ Is teaching in the field of discipline of the certification; ○ Whether the child is provided services by paraprofessionals and, if so, their qualifications. • Timely information to parents, as requested, regarding any State or local educational agency policy regarding student participation in any assessments mandated by 1111(b)(2) and by the State or local educational agency, including a policy, procedure, or parental right 	<p><i>Provide responsive documentation and if necessary, provide a brief response</i></p>	

	<p>to opt the child out of such assessment, where applicable.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA guidance to LEAs regarding notification requirements related to teachers who do not meet applicable State certification or licensure requirements • Relevant monitoring questions/ documents that address the requirement to provide information to parents about student achievement and student growth, as applicable and available • Relevant monitoring questions/ documents or LEA templates that include parental notification of a teacher who does not meet State certification or licensure requirements or paraprofessional qualifications 		
Additional Documentation	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Other documentation that would serve as evidence for the questions asked 		

J. Direct Student Services

ESEA
[§1003A](#)

Description: An SEA may reserve up to 3 percent of its Title I, Part A funds to allocate to LEAs to provide direct student services. In allocating the funds to LEAs, an SEA must prioritize LEAs that have the highest percentage of schools identified for comprehensive or targeted support and improvement from diverse geographical locations within the State.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended Participants: Title I Director

Subtopics:

- Direct Student Services

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
Direct Student Services	J1. Did the SEA reserve funds for direct student services? If no, skip to the next section.	<i>Choose an item.</i>	
Direct Student Services	J2. What percentage of funds, up to 3 percent of the SEA's total Title I, Part A allocation, did the SEA reserve for the purpose of direct student services? Suggested Documentation: <ul style="list-style-type: none"> • Budget document showing amount reserved out of total Title I, Part A allocation 	<i>Enter brief response here</i>	

Direct Student Services	<p>J3. Did the SEA consult with geographically diverse LEAs, including suburban, rural, and urban LEAs, and LEAs serving a high percentage of identified schools, prior to reserving funds under this section?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Evidence of consultation and geographic distribution and poverty rates of LEAs consulted 	Choose an item.	
Direct Student Services	<p>J4. Did the SEA award grants to geographically diverse LEAs that included suburban, rural, and urban LEAs?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> List of LEAs that received subgrants combined with evidence of geographic distribution, urbanicity, and poverty rates of LEAs. 	Choose an item.	
Direct Student Services	<p>J5. Does the application released to LEAs include all required information in ESEA section 1003A(d)?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Application template or sample completed LEA application 	Choose an item.	
Direct Student Services	<p>J6. What are the most common uses of funds for direct student services?</p>	Enter brief response here	
Direct Student Services	<p>J7. Describe how the SEA selects which LEAs will receive funds based on their applications and the priorities laid out within 1003A(b)(2).</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Review criteria, application announcement, or other document describing process, criteria, and theory of action 	Enter brief response here	
Direct Student Services	<p>J8. In making awards, did the SEA prioritize awards to LEAs serving the highest percentage of schools identified by the State for comprehensive support and improvement or implementing targeted support and improvement plans?</p> <p>Suggested Documentation:</p>	Choose an item.	

	<ul style="list-style-type: none"> • Copy of procedures for determining to which LEAs to award funds (e.g., scoring rubrics, priorities or preference categories) 		
Direct Student Services	<p>J9. What guidance does the SEA provide to LEAs for ensuring that 1003A funds are first used to support students who are enrolled in schools identified by the State for comprehensive support and improvement; second, for low-achieving students who are enrolled in schools implementing targeted support and improvement plans; and with any remaining funds, support other low-achieving students served by the LEA?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Communications to LEAs regarding prioritization of students supported by the LEA with 1003A funds 	<i>Enter brief response here</i>	
Direct Student Services	<p>J10. How does the SEA:</p> <ul style="list-style-type: none"> • Compile and maintain an updated list of State-approved high quality academic providers using a fair negotiation and rigorous selection and approval process that includes only providers that comply with all applicable Federal, State, and local health, safety, and civil rights laws and that includes providers that offer instructional content that is secular, neutral, and non-ideological; and • Ensure that each LEA that receives funds for direct student services is able to provide an adequate number of high-quality academic tutoring options to provide meaningful choice for parents? <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Copy of process and/or procedures for creating SEA approved provider list, including how the list of providers meets all requirements • Copy of SEA-approved provider list • Procedures for or guidance on reviewing the tutoring options each LEA uses 	<i>Enter brief response here</i>	

Direct Student Services	<p>J11. What is the SEA’s process for monitoring the quality of services provided by direct student services providers?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Monitoring procedures for direct student services providers 	<i>Enter brief response here</i>	
Direct Student Services	<p>J12. Does the SEA have clear criteria describing the course of action for direct student service providers that are not successful in improving student academic outcomes, including a process to remove the provider from the State-approved list?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Procedures for removing providers if such providers are not successful in improving student outcomes. 	<i>Choose an item.</i>	
Additional Documentation	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> Other documentation that would serve as evidence for the questions asked 		

K. Optional Public School Transfer

ESEA

[§1111\(d\)\(1\)\(D\)](#)

[§1003A\(c\)\(3\)\(E\)](#)

Description: An LEA may provide all students that are enrolled in a school identified by the State for Comprehensive support and improvement in accordance with ESEA section 1111(c)(4)(D)(i) with the option to transfer to another public school served by the LEA, unless prohibited by State law. The LEA must permit the student who transfers to another school to remain in that school until the student has completed the highest grade at that school. In providing students the option to transfer to another public school, the LEA must give priority to the lowest-achieving students from low-income families.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended SEA Participants: Title I, School Improvement Team, and Program Attorney(s)

Subtopics:

- LEA Participation
- Technical Assistance

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
LEA Participation	<p>K1. Does State law allow students enrolled in a public school identified by the State for Comprehensive support and improvement the option to transfer to another public school served by the LEA?</p> <p>If no, the SEA may skip to the remaining questions in this section.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Relevant State law citation (prohibiting transfer or allowing the transfer) 	<i>Choose an item.</i>	

	<ul style="list-style-type: none"> LEA school transfer policy and procedures manual 		
Technical Assistance	<p>K2. Describe the guidance the SEA provides to LEAs on providing all students that are enrolled in a school identified by the State for Comprehensive support and improvement with the option to transfer to another public school served by the LEA.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Public school choice transportation guidance 	<i>Enter brief response here</i>	
LEA Participation	<p>K3. How does the SEA ensure that an LEA using optional public school transfer under ESEA section 1111(d) does not exceed more than 5 percent of its Title I, Part A allocation?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> A list of amount and percent of Title I allocation spent on choice-related transportation by LEA 	<i>Enter brief response here</i>	
Additional Documentation	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> Other documentation that would serve as evidence for the questions asked 		

L. Title I-Specific Fiscal Requirements

ESEA

[§1113](#)

[§1114\(a\)\(2\)\(B\)](#)

[§1118\(b\) and \(c\)](#)

[§2301](#)

[§3115\(g\)](#)

Title I Regulations

34 CFR [200.77](#), [200.78](#), [200.79](#)

Description: An SEA that receives support under Title I must:

- Ensure that funds from the Title I, Part A programs are used to supplement not supplant State and local funds.
- Only award Title I funds to an LEA if State and local funds will be used in schools served by Federal programs to provide services that, on the whole, are at least comparable to services in schools that are not receiving Title I funds.
- Ensure that LEAs carry out the requirements for within-LEA allocations and reservations.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended Participants: Title I Program Directors, Program Attorney(s), Program Accountant(s)

Subtopics:

- Supplement Not Supplant Requirements
- LEA Corrective Actions
- SEA Comparability Determination
- SEA Review Process for LEA Comparability
- Within-LEA Allocations and Reservations

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
Supplement Not Supplant	L1. Describe the process (or processes) the SEA uses to ensure that the method each LEA uses to	<i>Enter brief response here</i>	

Requirements	<p>allocate State and local funds results in each school receiving Title I, Part A funds receiving all of the State and local funds it would otherwise receive if it were not receiving assistance under Title I, Part A.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Documented procedures for evaluating LEA compliance with Title I supplement not supplant requirements • Sample LEA Title I allocation methodology 		
Supplement Not Supplant Requirements	L2. How often does the SEA review LEA methodologies used to demonstrate compliance with Title I supplement not supplant requirements?	<i>Enter brief response here</i>	
LEA Corrective Actions	<p>L3. Where the SEA determines (e.g., through an audit, monitoring or other evaluation process) that an LEA has failed to comply with Title I supplement not supplant requirements, what steps does the SEA take or require the LEA to take to correct non-compliance?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Sample documentation of corrections made to an LEA's program budget/allocation because of supplanting violations • If no LEA has failed to comply, procedures documenting what steps the SEA would take if an LEA was out of compliance 	<i>Enter brief response here</i>	
SEA Comparability Determination	<p>L4. How many LEAs within the State meet the conditions for required annual determination of comparability?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Sample LEA comparability reports comparing Title I schools to non-Title I schools 	<i>Enter brief response here</i>	
SEA Comparability Determination	L5. Does the SEA require LEAs to submit written procedures for determining comparability?	<i>Choose an item.</i>	

	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> Guidance to LEAs regarding comparability requirements 		
SEA Comparability Determination	<p>L6. Describe the process that LEAs use to demonstrate compliance with comparability requirements to the SEA and how the SEA reviews this, including the use of any standard reports or forms and the timeline and frequency of LEA reporting on comparability and other support provide by the SEA.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Evidence that SEA is monitoring comparability for all qualifying LEAs at least once every two years Guidance documents or evidence of technical assistance to LEAs regarding comparability requirements 	<i>Enter brief response here</i>	
SEA Review Process for LEA Comparability	<p>L7. How does the SEA ensure that LEAs that have failed to demonstrate comparability take sufficient corrective action to address the issue?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Evidence of SEA monitoring follow-up to LEAs out of compliance If no LEA has failed to comply, procedures documenting what steps the SEA would take if an LEA was out of compliance 	<i>Enter brief response here</i>	
SEA Comparability Determination	<p>L8. How many LEAs within the State failed to meet comparability requirements in the most recent school year?</p>	<i>Enter number here</i>	
Within-LEA Reservations and Allocations	<p>L9. Describe how the SEA ensures that each LEA properly conducts its annual ranking of schools and makes required and optional reservations in order to determine Title I within-district allocations.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> The portion of an LEA's plan that includes 	<i>Enter brief response here</i>	

	<p>its reservation of Title I, Part A funds for required and optional reservations (e.g. the required reservation under ESEA section 1113(c)(3)(A) to serve students experiencing homelessness in Title I and non-Title I schools) and how it determines its Title I, Part A allocations to schools under ESEA section 1113(c)(1)-(2)</p> <ul style="list-style-type: none"> • Documentation of how the SEA ensures that children in local facilities for neglected children receive the Title I, Part A services to which they are entitled, consistent with ESEA sections 1113(c)(3)(A) and 1126(a). • Documentation of how the SEA ensures that an LEA is using its reservation to serve students experiencing homelessness in Title I and non-Title I schools for this purpose. 		
Additional Documentation	<p><i>Suggested Documentation:</i></p> <ul style="list-style-type: none"> • Other documentation that would serve as evidence for the questions asked 		

M. Other Title I Requirements

ESEA

[§1111\(g\)](#)

[§1112](#)

[§1119](#)

[§1603](#)

Description: A State that receives support under Title I, Part A must:

- Take steps to reduce bullying and harassment, the overuse of disciplinary practices that remove students from the classroom, and aversive behavioral interventions.
- Meet the needs of students at all grade levels, including by supporting LEAs in providing effective transitions such as in the middle grades and high school, to decrease the risk of students dropping out.
- Develop agreements with Head Start agencies and, if feasible, other entities carrying out early childhood development programs to carry out required activities that increase coordination between the LEA and entities carrying out early childhood education programs serving children who will attend schools in the LEA.
- Establish a State committee of practitioners to advise the State in carrying out its Title I, Part A responsibilities, in particular related to the review of any proposed or final State rule or regulation pursuant to Title I, Part A.
- Describe how low-income and minority children are not served at disproportionate rates by ineffective, out-of-field, or inexperienced teachers and must evaluate and publicly report the progress of the SEA with regard to such description.
- Ensure that LEAs identify and address any disparities that result in low-income students and minority students being taught at higher rates than other students by ineffective, inexperienced, or out-of-field teachers.

Recommended Participants: Title I Director, Director of Early Learning, and other staff involved in Student Support and Academic Support and Enrichment, as applicable

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the “Submitted Documentation File Name[s]” column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Subtopics:

- School Conditions
- School Transitions
- State Administration; Eliminating or Modifying Fiscal Barriers
- Coordination Requirements
- Committee of Practitioners
- Educator Equity

- Teacher and Paraprofessional Qualifications

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
School Conditions	<p>M1. Describe how the SEA supports LEAs to improve school conditions by reducing incidences of bullying and harassment, overuse of discipline practices that remove students from the classroom, and the use of aversive behavioral interventions that compromise student health and safety. Please include information on progress the SEA has made to implement the plans described in its approved consolidated State plan for school conditions.</p> <p>Suggested Documentation: Links to online resources, sample materials from professional development/training on strategies to improve school conditions Communications with LEAs regarding such practices, if applicable</p>	<i>Enter brief response here</i>	
School Transitions	<p>M2. Describe how the SEA supports LEAs in meeting the needs of students at all levels of schooling (particularly students in the middle grades and high schools) to provide effective transitions of students to decrease the risk of students dropping out. Please include information on progress the SEA has made to implement the plans described in its approved consolidated State plan for school transitions.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • Training or professional development materials • Excerpts from LEA plans related to transitions, if applicable 	<i>Enter brief response here</i>	

<p>State Administration; Eliminating or Modifying Fiscal Barriers</p>	<p>M3. Describe how the SEA minimizes and reduces duplication in rules and regulations to which the LEAs and schools are subject, consistent with the requirements in ESEA section 1111(g)(2)(G) and (E)) and ESEA section 1603 (a)(1)(B) and (C), including how the SEA:</p> <ul style="list-style-type: none"> • provides the least restrictive and burdensome regulations for its LEAs and their schools • modifies or eliminates State fiscal and accounting barriers to facilitate the ability of schools to consolidate funds under schoolwide programs 	<p><i>Enter brief response here</i></p>	
<p>Coordination Requirements</p>	<p>M4. Describe how the SEA ensures that each LEA has developed agreements with Head Start agencies and/or similar entities carrying out early childhood education programs to coordinate activities.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA guidance to LEAs regarding the requirement to develop agreements with Head Start agencies or other early childhood education programs and coordinate activities 	<p><i>Enter brief response here</i></p>	
<p>Coordination Requirements</p>	<p>M5. Describe how the SEA ensures that LEAs carry out coordination activities with early childhood education programs serving children who will attend schools in the LEA.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA guidance regarding LEA coordination activities with early childhood education programs 	<p><i>Enter brief response here</i></p>	
<p>Committee of Practitioners</p>	<p>M6. Provide evidence of the SEA committee of practitioners that advises the State in carrying out its Title I, Part A responsibilities, including demonstrating that the majority of its members are LEA representatives.</p>	<p><i>Enter brief response here or provide responsive documentation</i></p>	

	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> Committee of Practitioners roster for the most recent school year including the roles (e.g., LEA representative, subject matter expert, parent) of the membership and other documents guiding the committee’s work such a charter, mission, and schedule of meetings 		
Committee of Practitioners	<p>M7. Describe how, in the most recent school year, the committee reviewed all proposed or final State rules or regulations pursuant to Title I, Part A.</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Communication to Committee of Practitioners regarding proposed or final rules and regulations Agenda or meeting minutes of Committee of Practitioners 	<i>Enter brief response here</i>	
Educator Equity	<p>M8. Describe how the SEA evaluated its progress toward ensuring that low-income and minority children in Title I schools are not served at disproportionate rates by ineffective, out-of-field, and inexperienced teachers as outlined in ESEA section 1111(g)(1)(B).</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Updated educator equity data for low-income and minority children in Title I schools 	<i>Enter brief response here</i>	
Educator Equity	<p>M9. Describe how the SEA publicly reported its progress toward ensuring that low-income and minority children in Title I schools are not served at disproportionate rates by ineffective, out-of-field, and inexperienced teachers to meet the requirements in ESEA section 1111(g)(1)(B).</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Public report on progress 	<i>Enter brief response here</i>	
Educator Equity	<p>M10. Describe how the SEA ensures each LEA receiving a Title I, Part A subgrant identifies and</p>	<i>Enter brief response here</i>	

	<p>addresses disparities resulting in low-income and minority students in Title I, Part A schools having disproportionate access to ineffective, out-of-field, and inexperienced teachers to meet the requirements in ESEA section 1111(g)(1)(B),</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • LEA plan template • SEA guidance for LEAs related to equitable access to educators • SEA monitoring protocol 		
Teacher and Paraprofessional Qualifications	<p>M11. How does the SEA ensure that LEAs and schools ensure that all teachers and paraprofessionals working in a program supported with funds under Title I, Part A meet applicable State certification and licensure requirements, including any requirements for certification obtained through alternative routes to certification consistent with the requirements in ESEA section 1111(g)(2)(J) and (M)?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> • SEA monitoring protocol and plan for the current year 	<i>Enter brief response here</i>	
Additional Documentation	<p>Suggested Documentation: Other documentation that would serve as evidence for the questions asked</p>		

N. Educational Stability for Students in Foster Care

ESEA

[§1111\(g\)\(1\)\(E\)](#)

[§1112\(c\)\(5\)\(A\)-\(B\)](#)

Description: An SEA must ensure that when a student enters foster care or experiences a change in foster care placement, the student enrolls or remains in his or her school of origin unless a determination is made that it is not in such child's best interest to attend the school of origin. Such "best interest determinations" must be based on all factors relating to a child's best interest, including considering the appropriateness of the student's current educational setting and the proximity to the school in which the child is enrolled at the time of placement. If a determination is made that it would be in the best interest of a student to enroll in a new school, the student must be immediately enrolled in the new school, even if the student is unable to produce records that are normally required for enrollment. In such a case, the enrolling school must immediately contact the last school attended to acquire the relevant academic and other records.

An SEA must also designate a foster care point of contact to ensure collaboration with the State child welfare agency. The foster care point of contact serves as the SEA's primary point of contact for the State child welfare agency and is also responsible for implementing the Title I, Part A educational stability provisions. The SEA foster care point of contact may not simultaneously serve as the State's coordinator for McKinney-Vento programs.

Each LEA receiving a Title I, Part A subgrant must assure that it will designate an LEA foster care point of contact if the corresponding local child welfare agency notifies the LEA, in writing, that the child welfare agency has identified a point of contact for the LEA. In addition, each LEA must collaborate with the State or local child welfare agency to develop and implement clear written procedures for providing, arranging, and funding transportation to maintain a child in foster care in his or her school of origin, when in a child's best interest, for the duration of the child's time in foster care. The procedures must ensure that such transportation is promptly provided to a student in foster care in a cost-effective manner.

Instructions: Please respond to each self-assessment question. For items requesting a brief response, please provide a narrative answer or submit responsive documentation and indicate in the response (a) the document(s) that are responsive to each question and (b) the specific page or pages of the relevant documents that address each question. Please include each document file name in the "Submitted Documentation File Name[s]" column. In some cases, the same document may be responsive to multiple questions. In that case, you can submit the documentation once and refer to it in multiple questions (including page numbers for each section, as relevant). Based on U.S. Department of Education (Department) review of SEA responses, Department staff will determine appropriate on-site/desk review follow up questions.

Recommended Participants: Title I director; State foster care point of contact; LEA foster care point of contact

Subtopics:

- SEA Collaboration with Child Welfare Agency
- Best Interest Determinations
- Immediate Enrollment
- SEA Foster Care Point of Contact
- LEA Points of Contact, Transportation Procedures

Self-Assessment Questions

Subtopic	Questions	SEA Response	Submitted Documentation File Name[s]
SEA Collaboration with Child Welfare Agency	<p>N1. Does the SEA have an established process for collaboration with the State child welfare agency?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Evidence of collaboration, which might include documentation of formal agreements between the SEA and State child welfare agency and meetings, trainings, and/or guidance jointly held or developed by the SEA and State child welfare agency 	<i>Choose an item.</i>	
Best Interest Determinations	<p>N2. How does the SEA, in collaboration with the State child welfare agency, ensure that LEAs conduct best interest determinations to determine whether a student in foster care experiencing a change in foster care placement should remain at his or her school of origin?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> SEA guidance on making best interest determinations, including any templates or checklists relevant to such determinations 	<i>Enter brief response here</i>	
Immediate Enrollment	<p>N3. How does the SEA, in collaboration with the State child welfare agency, ensure that, for a student in foster care, an LEA immediately enrolls the student in a new school when it is determined to be in the student's best interest?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> SEA guidance on immediate enrollment and records transfer 	<i>Enter brief response here</i>	
SEA Foster Care Point of Contact	<p>N4. Has the SEA designated a State foster care point of contact?</p>	<i>Choose an item.</i>	

	<p>Suggested Documentation:</p> <ul style="list-style-type: none"> Evidence that the SEA has designated a foster care point of contact 		
SEA Foster Care Point of Contact	<p>N5. Is the SEA foster care point of contact separate from the State’s McKinney-Vento program coordinator?</p> <p>Suggested Documentation:</p> <ul style="list-style-type: none"> Evidence the SEA designated a foster care point of contact who is separate from the State’s McKinney-Vento program coordinator (e.g., a staff directory showing separate individuals hold the two roles) 	<i>Choose an item.</i>	
LEA Points of Contact, Transportation Procedures	<p>N6. Does the State ensure that each local plan includes an assurance that the LEA will collaborate with the State or local child welfare agency to meet the statutory requirements described in section 1112(c)(5)(A)-(B), including by:</p> <ol style="list-style-type: none"> If applicable, designating a point of contact for the LEA; and Developing and implementing transportation procedures? <p>Suggested Documentation:</p> <ul style="list-style-type: none"> SEA guidance on establishing LEA foster care points of contact LEA application for Title I, Part A funds SEA guidance on transportation procedures 	<i>Choose an item.</i>	
LEA Points of Contact, Transportation Procedures	<p>N7. How has the SEA ensured that any LEA with students in foster care has collaborated with the local child welfare agency to develop and implement written procedures to govern how transportation for students in foster care will be provided, arranged, and funded?</p> <p>Suggested Documentation:</p>	<i>Enter brief response here</i>	

	<ul style="list-style-type: none"> Evidence of SEA monitoring to ensure LEA collaboration with local child welfare agencies 		
Additional Documentation	<p><i>Suggested Documentation:</i></p> <ul style="list-style-type: none"> Other documentation that would serve as evidence for the questions asked, such as information about statewide, regional, or other guidance, trainings, webinars, communities of practice, etc. related to these requirements 		