**School Support and Accountability (SSA)**

**State Education Agency (SEA)**

**Title I Performance Review**

**Self-Assessment and On-site/Desk Review Protocol**

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## 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.

## State Assessment Requirements

ESEA

§§[1201(a)  
1111(b)(2)(B)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[34 CFR §200.1-200.10](https://www.ecfr.gov/cgi-bin/text-idx?SID=0bd0dea5496dd96488f8bd12ccc4ed87&mc=true&node=pt34.1.200&rgn=div5#sg34.1.200_123_6200_124.sg4)

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 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

***Self-Assessment Questions***

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| --- | --- | --- | --- |
| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| Use of State Assessment Grant Funding | A1. Has the SEA completed for the current school year development of all standards and assessments required under section 1111(b), including, at a minimum, assessments of reading/language arts, mathematics, science, and English language proficiency, including alternate assessments for each? | *Choose an item.* |  |
| Use of State Assessment Grant Funding | A2. How is the SEA using funds available through Grants for State Assessments?  ***Suggested Documentation:***   * Budget | *Enter brief response here* |  |
| Required Assessments | What assessments is the State currently administering in each of these categories, for purposes of ESEA section 1111(b): |  |  |
| Required Assessments | A3. General assessments in mathematics and reading/language arts for grades 3-8 | *Provide name(s) of assessments* |  |
| Required Assessments | A4. General assessments in mathematics and reading/language arts for high school | *Provide name(s) of assessments* |  |
| Required Assessments | A5. General assessments in science for each of the following grade bands: 3-5, 6-9, 10-12 | *Provide name(s) of assessments* |  |
| Required Assessments | A6. Alternate assessments based on alternate academic achievement standards for grades 3-8 and high school in reading/language arts and mathematics | *Provide name(s) of assessments* |  |
| Required Assessments | A7. Alternate assessments based on alternate academic achievement standards in science for each of the following grade bands: 3-5, 6-9, and 10-12 | *Provide name(s) of assessments* |  |
| Required Assessments | A8. English language proficiency assessment in grades K-12 | *Provide name(s) of assessments* |  |
| Required Assessments | A9. Alternate English language proficiency assessment in grades K-12 | *Provide name(s) of assessments* |  |
| Required Assessments | A10. Is the SEA in the process of changing any of those assessments? | *Choose an item.* |  |
| Required Assessments | A11. If yes, specify which subjects and grades and in which year will the SEA first operationally administer the new assessment(s)? | *Provide name(s) of assessments and associated year* |  |
| Required Assessments | A12. 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? | *Choose an item.* |  |
| Required Assessments | A13. If yes, please identify the new or amended standards. | *Provide name(s) of new or amended standards* |  |
| Required Assessments | A14. If yes, please describe the timeline for developing statewide assessments aligned to the new standards. | *Enter brief description here* |  |
| Assessment Flexibilities | Is the SEA currently using or planning to use any of the following assessment flexibilities within the current or upcoming academic year? |  |  |
| Assessment Flexibilities | A15. Locally selected, nationally recognized high school academic assessments | *Choose an item.* |  |
| Assessment Flexibilities | A16. Exception for 8th graders to take the SEA’s high school end-of-course mathematics assessment in place of the grade 8 assessment | *Choose an item.* |  |
| Assessment Flexibilities | A17. Assessment in a Native American language | *Choose an item.* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

***On-site/Desk Review Questions***

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| **Subtopic** | **Question** |
| Grants for State Assessments | If the State assessed more than 1.0% of students using an alternate assessment aligned with alternate academic achievement standards (AA-AAAS) in the previous school year *but did not have a waiver related to exceeding the 1.0% allowed by statute*, describe the actions the SEA is taking to ensure that LEAs do not assess more than 1.0% of students in any subject using the AA-AAAS in the future. |
| Required Assessments | If the State has a participation rate of less than 95 percent in mathematics, reading/language arts, or science, for all students or any subgroup of students, how is it working to increase participation? |
| Assessment Flexibilities | If any LEA has requested to offer a locally selected, nationally recognized high school academic assessment, has the SEA conducted an SEA-level peer review? If yes, when will it submit for Federal peer review? |
| Assessment Flexibilities | If the State is using the 8th 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? |

## Statewide Accountability System

ESEA

[§1111(b)(3)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(c)(4)(A)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(c)(4)(B)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

§1111(c)(4)(E)

[§1111(c)(4)(F)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§8101(23)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§8101(25)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(c)(4)(C)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(c)(4)(F)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 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***

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| --- | --- | --- | --- |
| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| Long-term Goals | B1. Did your State meet its most-recent measurements of interim progress, or, as applicable, long-term goals for academic achievement, graduation rate, and progress in achieving English language proficiency for all students and each subgroup?  ***Suggested Documentation:***   * Link to portion of the State report card that includes information related to meeting established long-term goals and measurements of interim progress | *Choose an item.* |  |
| Academic Achievement Indicator | B2. Describe how the SEA calculates the academic achievement indicator for Federal Title I accountability purposes. This should include a description of how the SEA includes all schools that meet the minimum n-size and measures the performance of at least 95 percent of all students and 95 percent of all students in each subgroup when calculating the academic achievement indicator.  ***Suggested Documentation:***   * SEA’s business rules for calculating the academic achievement indicator for federal Title I accountability purposes or samples of calculations for schools (both elementary/middle and high schools) for federal Title I accountability purposes. This should include information about:   + Inclusion of all schools   + How the indicator is calculated for all subgroups for, at a minimum, purposes of identifying schools for Targeted support and improvement   + Participation rate calculation   + If applicable, middle school mathematics   + If applicable, inclusion of former English learners | *Enter brief response here and/or identify responsive documentation* |  |
| Academic Achievement Indicator | B3. If the State implements the 8th grade mathematics exception, how does the SEA calculate the academic achievement indicator for middle and high schools with regard to the 8th grade mathematics exception? | *Not Applicable or*  *enter brief response here and/or identify responsive documentation* |  |
| Academic Achievement Indicator | B4. If applicable, describe how the SEA calculates student academic growth and uses the results in the academic achievement indicator for high schools.  ***Suggested Documentation:***   * If applicable, documentation of business rules for calculating student academic growth, including assessments used to measure growth, | *Not Applicable or*  *enter brief response here and/or identify responsive documentation* |  |
| Recently-arrived English Learners | B5. If the SEA is including recently arrived ELs differently than other ELs in the system of annual meaningful differentiation, describe how. | *Enter brief response here and/or identify responsive documentation* |  |
| Other Academic Indicator | B6. Describe how the SEA calculates its other academic indicator for elementary and middle schools that are not high schools.  ***Suggested Documentation:***  SEA’s business rules for calculating the other academic indicator or samples of calculations for elementary and middle schools. This should include information about:   * + Inclusion of all elementary and secondary schools that are not high schools   + If applicable, middle school mathematics   + If applicable, documentation of the student growth measure, including the assessments used to measure growth | *Enter brief response here and/or identify responsive documentation* |  |
| Graduation Rate Indicator | B7. Describe how the SEA calculates the graduation rate indicator, including, if applicable, how the SEA combines the four-year adjusted cohort graduation rate (ACGR) with any extended year graduation rates.  ***Suggested Documentation:***  SEA’s business rules for calculating the ACGR. This should include information about:   * Inclusion of all schools * If applicable, how it combined the four-year and extended-year graduation rates | *Enter brief response here and/or identify responsive documentation* |  |
| Graduation Rate Indicator | B8. What is the SEA’s definition of a regular high school diploma for purposes of calculating the ACGR?  ***Suggested Documentation:***   * Chart or public document identifying diploma types (including pathways, if applicable) and requirements for each | *Enter brief response here and/or identify responsive documentation* |  |
| Graduation Rate Indicator | B9. If the SEA offers multiple diploma types, for which diploma types are students counted as graduates in the SEA’s ACGR calculations? | *Enter brief response here and/or identify responsive documentation* |  |
| Graduation Rate Indicator | B10. 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?  ***Suggested Documentation:***   * State requirements for alternate diploma * Guidance the SEA has provided to LEAs and schools regarding the State-defined alternate diploma, including student eligibility | *Enter brief response here and/or identify responsive documentation* |  |
| Graduation Rate Indicator | B11. 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?  ***Suggested Documentation:***   * Business rules for adjusting the graduation cohort to include students who receive the State’s alternate diploma | *Enter brief response here and/or identify responsive documentation* |  |
| Graduation Rate Indicator | B12. 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?  ***Suggested Documentation:***   * Sample documentation from LEAs of valid cohort removal * Guidance to LEAs regarding documentation required to remove a student from a cohort * Monitoring protocols | *Enter brief response here and/or identify responsive documentation* |  |
| Progress in Achieving English Language Proficiency Indicator | B13. Describe how the SEA calculates the progress in achieving English language proficiency indicator.  ***Suggested Documentation:***   * SEA’s business rules for calculating the progress in achieving English language proficiency indicator | *Enter brief response here and/or identify responsive documentation* |  |
| School Quality or Student Success Indicator | B14. Describe how the SEA calculates *each* school quality or student success indicator.  ***Suggested Documentation:***   * SEA’s business rules for calculating the school quality or student success indicators). This should include information about:   + Inclusion of all schools   + Inclusion of all students | *Enter brief response here and/or identify responsive documentation for each indicator* |  |
| School Quality or Student Success Indicator | B15. Describe how each school quality or student success indicator allows for meaningful differentiation of school performance. | *Enter brief response here and/or identify responsive documentation for each indicator* |  |
| Partial Attendance | B16. 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.  ***Suggested Documentation:***   * A definition, business rules, or a procedure for determining which students to include | *Enter brief response here and/or identify responsive documentation for each indicator* |  |
| Annual Meaningful Differentiation | B17. 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.)  ***Suggested Documentation:***   * Business rules for annually meaningfully differentiating among all public schools in the State. This should include information that:   + 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 | *Enter brief response here and/or identify responsive documentation* |  |
| Annual Meaningful Differentiation | B18. If applicable, describe 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.  ***Suggested Documentation:***   * Business rules for implementing the State’s different methodology or methodologies for schools for which an accountability determination cannot be made (e.g., K-2 schools, small schools, schools without tested grades, charter schools, and schools for special populations) * List of schools that were included in the State’s system of annual meaningful differentiation using a “different methodology or methodologies.” | *Not Applicable or*  *enter brief response here and/or identify responsive documentation* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

## Identification of Schools

ESEA

[§1111(c)(4)(D)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(c)(4)(C)(iii)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(d)(2)(C)-(D)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(d)(3)(A)(i)(II)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 follow up questions.

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

Subtopics:

* 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***

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| --- | --- | --- | --- |
| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| Comprehensive Support and Improvement Schools (Lowest Performing) | C1. What are the State’s procedures for identifying at least the lowest-performing five percent of all Title I schools for comprehensive support and improvement?  ***Suggested Documentation:***   * Business rules for identifying schools for comprehensive support and improvement * A list of the schools identified for comprehensive support and improvement (lowest performing) | *Enter brief response here* |  |
| Comprehensive Support and Improvement Schools (Lowest Performing) | C2. 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? | *Insert number* |  |
| Comprehensive Support and Improvement Schools (Lowest Performing) | C3. How many Title I schools were identified as lowest-performing schools for comprehensive support and improvement? | *Insert number* |  |
| Comprehensive Support and Improvement Schools (Lowest Performing) | C4. When did the State most recently notify all LEAs with comprehensive support and improvement (lowest performing) schools?  ***Suggested Documentation:***   * Sample notifications to LEAs of schools identified for comprehensive support and improvement (lowest performing) | *Click or tap to enter a date.* |  |
| Comprehensive Support and Improvement Schools (Lowest Performing) | C5. When are comprehensive support and improvement (lowest performing) schools expected to begin implementing interventions if the State permits a planning year?  ***Suggested Documentation:***   * Guidance for LEAs in developing school support and improvement plans | *Click or tap to enter a date.* |  |
| Comprehensive Support and Improvement Schools (Lowest Performing) | C6. When will the State next notify all LEAs with schools identified as comprehensive support and improvement (lowest performing)? | *Enter brief response here and/or identify responsive documentation* |  |
| Comprehensive Support and Improvement Schools (Low Graduation Rates) | C7. 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:***   * 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) | *Enter brief response here and/or identify responsive documentation* |  |
| Comprehensive Support and Improvement Schools (Low Graduation Rates) | C8. When did the State most recently notify all LEAs with high schools identified for comprehensive support and improvement based on graduation rates of less than 67 percent schools?  ***Suggested Documentation:***   * Sample notifications to LEAs of schools identified for comprehensive support and improvement (low graduation rates) | *Click or tap to enter a date.* |  |
| Comprehensive Support and Improvement Schools (Low Graduation Rates) | C9. When are high schools identified for comprehensive support and improvement on graduation rates of less than 67 percent expected to begin implementing interventions if the State permits a planning year?  ***Suggested Documentation:***   * Guidance for LEAs in developing school improvement plans | *Click or tap to enter a date.* |  |
| Comprehensive Support and Improvement Schools (Low Graduation Rates) | C10. When will the State next notify all LEAs with high schools identified for comprehensive support and improvement based on low graduation rates? | *Click or tap to enter a date.* |  |
| Comprehensive Support and Improvement Schools (Receiving Additional Targeted Support Not Exiting Such Status) | C11. 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:***   * Business rules for identifying for comprehensive support and improvement those schools identified for additional targeted support that have not exited such status | *Enter brief response here and/or identify responsive documentation* |  |
| Comprehensive Support and Improvement Schools (Receiving Additional Targeted Support Not Exiting Such Status) | C12. When did the State most recently notify all LEAs with schools identified for comprehensive support and improvement based on not exiting targeted support and improvement status in the most recent school year?  ***Suggested Documentation:***   * Business rules for identifying schools for comprehensive support and improvement (receiving additional targeted Support not exiting such status) * A list of schools identified for comprehensive support and improvement based on not exiting targeted support and improvement status | *Click or tap to enter a date.* |  |
| Comprehensive Support and Improvement Schools (Receiving Additional Targeted Support Not Exiting Such Status) | C13. When are schools identified for comprehensive support and improvement based on not exiting targeted support and improvement status in the most recent school year expected to begin implementing interventions if the State permits a planning year?  ***Suggested Documentation:***   * Guidance for LEAs in developing school improvement plans | *Click or tap to enter a date.* |  |
| Comprehensive Support and Improvement Schools (Receiving Additional Targeted Support Not Exiting Such Status) | C14. When will the State next notify all LEAs with schools identified for comprehensive support and improvement based on not exiting targeted support and improvement status? | *Click or tap to enter a date.* |  |
| Targeted Support and Improvement Schools (Consistently Underperforming Subgroups) | C15. What are the State’s procedures for annually identifying schools with one or more consistently underperforming subgroups for targeted support and improvement status?  ***Suggested Documentation:***   * Business rules for identifying schools for targeted support and improvement (consistently underperforming) * List of schools identified for targeted support with one or more consistently underperforming subgroup | *Enter brief response here and/or identify responsive documentation* |  |
| Targeted Support and Improvement Schools (Consistently Underperforming Subgroups) | C16. When did the State most recently notify LEAs with schools that have one or more consistently underperforming subgroups that require targeted support and improvement?  ***Suggested Documentation:***   * Sample notifications to LEAs of schools identified for targeted support and improvement based on having consistently underperforming subgroups | *Click or tap to enter a date.* |  |
| Targeted Support and Improvement Schools (Consistently Underperforming Subgroups) | C17. When are schools that have one or more consistently underperforming subgroups that require targeted support and improvement expected to begin implementing interventions if the State permits a planning year?  ***Suggested Documentation:***   * Guidance for LEAs in developing school improvement plans | *Click or tap to enter a date.* |  |
| Targeted Support and Improvement Schools (Additional Targeted Support) | C18. What are the State’s procedures to identify schools for additional targeted support and improvement?  ***Suggested Documentation:***   * Business rules for identifying schools for comprehensive support and improvement (additional targeted support) * List of the schools identified for additional targeted support in the most recent year * Sample notifications to LEAs of schools identified for additional targeted support and improvement | *Enter brief response here and/or identify responsive documentation* |  |
| Targeted Support and Improvement Schools (Additional Targeted Support) | C19. When did the State most recently notify LEAs that have additional targeted support schools? | *Click or tap to enter a date.* |  |
| Targeted Support and Improvement Schools (Additional Targeted Support) | C20. When are schools identified as additional targeted support expected to begin implementing interventions if the State permits a planning year? | *Click or tap to enter a date.* |  |
| Targeted Support and Improvement Schools (Additional Targeted Support) | C21. When will the State next notify LEAs with schools that are additional targeted support and improvement? | *Click or tap to enter a date.* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

## Support for School Improvement

ESEA

§1003(b)-(f)

§1111(d)(1)-(2)

[§1111(d)(3)(A)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 or a significant percentage of schools identified for comprehensive or targeted support and improvement and must provide technical assistance to each LEA serving a significant number of schools identified for comprehensive or 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 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***

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| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| Comprehensive Support and Improvement Plans | D1. Briefly describe the SEA’s process for reviewing and approving every comprehensive support and improvement plan. This includes ensuring that each plan:   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.   ***Suggested Documentation:***   * Sample comprehensive support and improvement plan * 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 | *Enter brief response here and/or identify responsive documentation* |  |
| Comprehensive Support and Improvement Plans | D2. Describe how the SEA monitors and periodically reviews the implementation of comprehensive support and improvement plans.  ***Suggested Documentation:***   * SEA monitoring protocol for monitoring LEA responsibilities with respect to comprehensive support and improvement: * SEA timeline for monitoring LEA responsibilities with respect to comprehensive support and improvement schools * Sample monitoring reports | *Enter brief response here and/or identify responsive documentation* |  |
| Targeted Support and Improvement Plans | D3. Describe how the SEA ensures LEAs:  1. Review and approve targeted support and improvement plans and  2. Monitor implementation of targeted support and improvement plans.  ***Suggested Documentation:***   * Guidance to LEAs; * Training materials; * SEA monitoring protocols | *Enter brief response here and/or identify responsive documentation* |  |
| Targeted Support and Improvement Plans | D4. Describe how the SEA ensures LEAs take additional action following unsuccessful implementation of a targeted support and improvement plan after a number of years determined by the LEA.  ***Suggested Documentation:***   * Guidance to LEAs; Training materials; SEA monitoring protocols for use with LEAs | *Enter brief response here and/or identify responsive documentation* |  |
| Evidence-based Interventions | D5. Identify examples of evidence-based interventions currently in use in schools receiving comprehensive or targeted support.  ***Suggested Documentation:***   * Examples of evidence-based interventions in use in comprehensive support and improvement or targeted support and improvement schools *and* list of alternative evidence-based State-determined strategies, if applicable | *Enter brief response here and/or identify responsive documentation* |  |
| Exit Criteria | D6. What are the State’s procedures for determining whether a school identified for comprehensive support has met exit criteria? This should include evidence that the schools that exit made continued progress to improve student academic achievement and school success.  ***Suggested Documentation:***   * Business rules for determining whether a school identified for comprehensive support has met exit criteria * Data showing the progress schools that exited have made | *Enter brief response here and/or identify responsive documentation* |  |
| Exit Criteria | D7. What are the State’s procedures for determining whether a school identified for additional targeted support and improvement has met exit criteria? This should include evidence that the schools that exit made continued progress to improve student academic achievement and school success.  ***Suggested Documentation:***   * Business rules for determining whether a school identified for comprehensive support has met exit criteria * Data showing the progress schools that exited have made | *Enter brief response here and/or identify responsive documentation* |  |
| More Rigorous State-determined Actions | D8. 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?  ***Suggested Documentation:***   * 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 | *Enter brief response here and/or identify responsive documentation* |  |
| Continued Support for School and LEA Improvement | D9. For which LEAs has the SEA determined that there are a significant number or percentage of schools identified for comprehensive, targeted, and/or additional targeted support and improvement?  ***Suggested Documentation:***   * A list of LEAs that that have a significant number or percentage of schools identified for comprehensive or targeted support and improvement for the most recent/current school year | *Enter brief response here and/or identify responsive documentation* |  |
| Technical Assistance | D10. Describe the technical assistance the SEA provides to LEAs serving a significant number of schools implementing comprehensive, targeted, or additional support and improvement plans.  ***Suggested Documentation:***   * A list of LEAs that that have a significant number or percentage of schools identified for comprehensive or targeted support and improvement for the most recent/current school year | *Enter brief response here and/or identify responsive documentation* |  |
| Resource Allocation Review | 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:   * Comprehensive support and improvement. * Targeted and additional targeted support and improvement (i.e., TSI and ATSI).   ***Suggested Documentation:***   * Protocol or procedures for periodically reviewing resource allocation for LEAs serving a significant number or percentage of schools identified for comprehensive or targeted support and improvement | *Enter brief response here and/or identify responsive documentation* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

## 1003 School Improvement

ESEA

[§1003](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(d)(1)-(2)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§8101(21)(B)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 follow up questions.

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

Subtopics:

* 1003 School Improvement

***Self-Assessment Questions***

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| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| 1003 School Improvement | 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?  ***Suggested Documentation:***   * A list of schools or link to the State report card that lists all LEAs and schools that received funds under this section, including the amount of funds each school received and the types of strategies implemented in each school with such funds | *Choose an item.* |  |
| 1003 School Improvement | E2. Describe the SEA’s application, application review process, and guidance to LEAs.  ***Suggested Documentation:***   * 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 | *Enter brief response here* |  |
| 1003 School Improvement | E3. In making subgrants, how does the SEA   * Take the geographic diversity of the State into account * Ensure that LEA subgrants are of sufficient size and duration to enable the effective implementation of selected strategies?   ***Suggested Documentation:***   * A copy of SEA guidance or invitation for applications that describes possible award sizes | *Enter brief response here* |  |
| 1003 School Improvement | E4. How does the SEA monitor and evaluate LEAs’ use of section 1003 funds?  ***Suggested Documentation:***   * Monitoring schedule and protocol | *Enter brief response here* |  |
| 1003 School Improvement | E5. How does the SEA’s method of allocating section 1003 subgrants give priority to LEAs that (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, *and* (3) demonstrate the strongest commitment to using section 1003 funds to enable the lowest-performing schools to improve student achievement and student outcomes?  ***Suggested Documentation:***   * Documentation that demonstrates the SEA’s process for determining “strongest commitment” and “greatest need” | *Enter brief response here* |  |
| 1003 School Improvement | E6. What percentage of funds reserved under ESEA section 1003(a) did the SEA allocate to LEA subgrants? | *Enter brief response here* |  |
| 1003 School Improvement | E7. Did the SEA, with the approval of individual LEAs, directly provide comprehensive or targeted support and improvement activities or arrange for activities through other entities (e.g., school support teams, educational service agencies, or nonprofit or for-profit external providers) with expertise in using evidence-based strategies to improve student achievement, instruction, and schools?  ***Suggested Documentation:***   * 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 | *Choose an item.* |  |
| 1003 School Improvement | E8. 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)? | *Enter brief response here* |  |
| 1003 School Improvement | E9. What was the length of the section 1003 subgrants awarded to LEAs? Did the grant period include a planning year? | *Enter brief response here* |  |
| 1003 School Improvement | E10. How does the SEA ensure that evidence-based intervention 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? | *Enter brief response here* |  |
| 1003 School Improvement | E11. Describe how SEA reduced barriers and provided operational flexibility for schools implementing comprehensive support and improvement and targeted support and improvement activities. | *Enter brief response here* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

#### On-site/Desk Review Questions

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| **Subtopic** | **Question** |
| 1003 School Improvement | If 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 CSI and TSI school? |

## State and Local Report Cards

ESEA

[§1003(i)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(g)(2)(N)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1111(h)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§8101 (23) and (25)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

Title I Regulations

[§200.11](https://www.ecfr.gov/cgi-bin/text-idx?SID=0bd0dea5496dd96488f8bd12ccc4ed87&mc=true&node=pt34.1.200&rgn=div5#sg34.1.200_110.sg1)

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 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

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| **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? | *Enter brief response here* |  |
| Process for Timely Reporting | F2. Does the SEA or LEA prepare local report cards?  ***Suggested Documentation:***   * If the LEA prepares report cards, guidance from the SEA on requirements | *Choose an item.* |  |
| Process for Timely Reporting | F3. What is the website address where the State report card is made publicly available? Please provide the website for the following school years:   * 2019-2020 * 2020-2021 * 2021-2022 *(if available)*   ***Suggested Documentation:***   * Website addresses to the SEA and three (3) LEA report cards, including for LEAs included in this review for each of the years listed above | *Enter brief response here* |  |
| Data Publication | F4. How has the SEA prepared report cards to be provided in a format and, to the extent practicable, in a language that can be understood by:   * Parents and family members who have limited English proficiency? * Parents and family members with disabilities? * Parents and family members of migratory children? | *Enter brief response here* |  |
| Data Publication | F5. 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?    ***Suggested Documentation:***   * SEA business rules for applying its minimum N-size * SEA business rules for suppression of data * Sample report cards with data suppressed | *Enter brief response here* |  |
| Data Publication | F6. Please use “Appendix A: SEA and LEA Checklist for Report Card Elements” of the Department’s non-regulatory guidance, O*pportunities and Responsibilities for State and Local Report Cards* to determine if the State and local report cards include all required data (available at: https://oese.ed.gov/files/2020/07/report-card-guidance-final.pdf).  If the SEA or LEA report cards do not include all data required under ESEA section 1111(h)(1-2), why was the SEA unable to report this element(s)? | *Enter brief response here* |  |
| Data Publication | F7. For which fiscal year does the most recently published report card include per-pupil expenditure information? | *Enter brief response here* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

#### On-site/Desk Review Questions

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| **Subtopic** | **Question** |
| Process for Timely Reporting | When does the SEA anticipate publishing the State report card and, if applicable, LEA report cards in future years? |

## Schoolwide Programs

ESEA

[§1114](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[34 CFR §200.25-200.29](https://www.ecfr.gov/cgi-bin/text-idx?SID=0bd0dea5496dd96488f8bd12ccc4ed87&mc=true&node=pt34.1.200&rgn=div5#sg34.1.200_123_6200_124.sg4)

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 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***

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| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| Eliminating or Modifying Fiscal Barriers | 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?  ***Suggested Documentation:***   * Guidance from the SEA to LEAs and schools regarding consolidation of federal program funds and recordkeeping | *Enter brief response here* |  |
| Consolidation of Federal program funds and recordkeeping | 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? | *Enter brief response here* |  |
| Schoolwide Program Plans | G3. Describe the process(es) the SEA uses to ensure that schoolwide program plans are:   * 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; * Is developed with the involvement of parents, individuals who will carry out such a plan, and other stakeholders * Includes a description of the strategies the school will implement to address school needs as outlined in ESEA section 1114(b)(7)(a)   ***Suggested Documentation:***   * SEA communications with LEAs regarding the requirement for schoolwide program plans * Schoolwide plan template or completed sample schoolwide plan | *Enter brief response here* |  |
| Schoolwide Programs | G4. How does the SEA ensure that LEAs and schools ensure that all teachers and paraprofessionals working in a program supported with funds under this part meet applicable State certification and licensure requirements, including any requirements for certification obtained through alternative routes to certification? | *Enter brief response here* |  |
| Monitoring | G5. Describe the processes the SEA uses to ensure that schoolwide program plans are regularly monitored and revised on an ongoing basis as needed.  ***Suggested Documentation:***   * 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 | *Enter brief response here* |  |
| Waivers | G6. 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.  ***Suggested Documentation:***   * 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. | *Choose an item.* |  |
| Waivers | G7. If so, how many waivers does the SEA have in place in the current or most recent school year? | *Enter number* |  |
| Waivers | G8. 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? | *Enter brief response here* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

## Targeted Assistance Programs

ESEA

[§1115](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 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***

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| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| Targeted Assistance School Programs | H1. How many schools in the State operate targeted assistance programs? | *Enter number* |  |
| Targeted Assistance School Programs | H2. What support does the SEA provide to LEAs and schools implementing targeted assistance programs for   * 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?   ***Suggested Documentation:***   * SEA guidance to LEAs regarding targeted assistance plans | *Enter brief response here* |  |
| Targeted Assistance School Programs | H3. How does the SEA ensure that LEAs and schools ensure that all teachers and paraprofessionals working in a targeted assistance program meet applicable State certification and licensure requirements, including any requirements for certification obtained through alternative routes to certification?  ***Suggested Documentation:***   * SEA monitoring protocol and plan for the current year | *Enter brief response here* |  |
| Monitoring | 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.  ***Suggested Documentation:***   * SEA monitoring protocol and plan for the current year * SEA guidance or communications with LEAs regarding the requirements for targeted assistance program plans | *Enter brief response here* |  |
| Eligible Students | 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?  ***Suggested Documentation:***   * SEA monitoring protocol and plan for the current year * SEA guidance or communications with LEAs regarding the requirements for identifying eligible children | *Enter brief response here* |  |
| Integration of Professional Development | 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?  ***Suggested Documentation:***   * SEA monitoring protocol and plan for the current year * SEA guidance or communications with LEAs regarding the requirements for targeted assistance program plans | *Enter brief response here* |  |
| Comprehensive Services | 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) funds are not reasonably available from other sources to provide such services?  ***Suggested Documentation:***   * SEA monitoring protocol and plan for the current year * SEA guidance or communications with LEAs regarding the requirements for targeted assistance program plans | *Enter brief response here* |  |
| Delivery of Services | 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?  ***Suggested Documentation:***   * SEA monitoring protocol and plan for the current year * SEA guidance or communications with LEAs regarding the requirements for targeted assistance program plans | *Enter brief response here* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

## Parent and Family Engagement

ESEA

[§1111(g)(2)(F)  
1112(e)  
1116  
8101(39)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 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:***   * Guidance regarding parent and family engagement requirements | *Enter brief response here* |  |
| Technical Assistance | I2. How does the SEA collect and disseminate to LEAs effective parent and family engagement strategies?  ***Suggested Documentation:***   * Sample communication, toolkits, or professional learning documents regarding effective parent and family engagement strategies | *Enter brief response here* |  |
| Monitoring | I3. 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?  ***Suggested Documentation:***   * Copy of process to review LEA parent and family engagement policies * If applicable, SEA template for LEA parent and family engagement policies * Samples of feedback to LEAs regarding the SEA’s review of their parent and family engagement policies | *Enter brief response here* |  |
| Monitoring | I4. 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?  ***Suggested Documentation:***   * 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 | *Enter brief response here* |  |
| Consultation | I5. 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 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?  ***Suggested Documentation:***   * Copy of process to review LEA policies and procedures for parent and family engagement | *Enter brief response here* |  |
| Fiscal | I6. 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?  ***Suggested Documentation:***   * 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 | *Enter brief response here* |  |
| Fiscal | I7. 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?  ***Suggested Documentation:***   * Guidance to LEAs regarding reservations for parent and family engagement * Evidence of monitoring LEAs related to reservations for parent and family engagement | *Enter brief response here* |  |
| Fiscal | I8. How does the SEA ensure that funds reserved under Title I, Part A by an LEA for parent and family engagement are used to carry out activities and strategies consistent with the LEA’s parent and family engagement policy and allowable uses of funds?  ***Suggested Documentation:***   * Budget review checklist * SEA monitoring protocols | *Enter brief response here* |  |
| Notification | I9. Describe the SEA’s process for ensuring that each LEA provides:   * 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: * Whether the teacher: * 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 to opt the child out of such assessment, where applicable.   ***Suggested Documentation:***   * SEA guidance to LEAs regarding notification requirements related to teachers who do not meet applicable State certification or licensure requirements * Copies of relevant monitoring questions/ documents that address the requirement to provide information to parents about student achievement and student growth, as applicable and available * Copies of 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 | *Provide responsive documentation and if necessary, provide a brief response* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

## Direct Student Services

ESEA

§[1003A](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 follow up questions.

Recommended Participants: Title I Director

Subtopics:

* Direct Student Services

***Self-Assessment Questions***

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| **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. | *Choose an item.* |  |
| 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:***   * Budget document showing amount reserved out of total Title I, Part A allocation | *Enter brief response here* |  |
| Direct Student Services | 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?  ***Suggested Documentation:***   * Evidence of consultation and geographic distribution and poverty rates of LEAs consulted | *Choose an item.* |  |
| Direct Student Services | J4. Did the SEA award grants to geographically diverse LEAs that included suburban, rural, and urban LEAs?  ***Suggested Documentation:***   * List of LEAs that received subgrants combined with evidence of geographic distribution, urbanicity, and poverty rates of LEAs. | *Choose an item.* |  |
| Direct Student Services | J5. Does the application released to LEAs include all required information in ESEA section 1003A(d)?  ***Suggested Documentation:***   * Application template or sample completed LEA application | *Choose an item.* |  |
| Direct Student Services | J6. What are the most common uses of funds for direct student services? | *Enter brief response here* |  |
| Direct Student Services | J7. Describe how the SEA selects which LEAs will receive funds based on their applications and the priorities laid out within 1003A(b)(2).  ***Suggested Documentation:***   * Review criteria, application announcement, or other document describing process, criteria, and theory of action | *Enter brief response here* |  |
| Direct Student Services | 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?  ***Suggested Documentation:***   * Copy of procedures for determining to which LEAs to award funds (e.g., scoring rubrics, priorities or preference categories) | *Choose an item.* |  |
| Direct Student Services | 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?  ***Suggested Documentation:***   * Communications to LEAs regarding prioritization of students supported by the LEA with 1003A funds | *Enter brief response here* |  |
| Direct Student Services | J10. How does the SEA:   * 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?   ***Suggested Documentation:***   * 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 | *Enter brief response here* |  |
| Direct Student Services | J11. What is the SEA’s process for monitoring the quality of services provided by direct student services providers?  ***Suggested Documentation:***   * Monitoring procedures for direct student services providers | *Enter brief response here* |  |
| Direct Student Services | 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?  ***Suggested Documentation:***   * Procedures for removing providers if such providers are not successful in improving student outcomes. | *Choose an item.* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

## Optional Public School Transfer

ESEA

[§1111(d)(1)(D)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1003A(c)(3)(E)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 follow up questions.

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

Subtopics:

* LEA Participation
* Technical Assistance

#### Self-Assessment Questions

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| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| LEA Participation | 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?  If no, the SEA may skip to the remaining questions in this section.  ***Suggested Documentation:***   * Relevant State law citation (prohibiting transfer or allowing the transfer) * LEA school transfer policy and procedures manual | *Choose an item.* |  |
| Technical Assistance | 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.  ***Suggested Documentation:***   * Public school choice transportation guidance | *Enter brief response here* |  |
| LEA Participation | 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?  ***Suggested Documentation:***   * A list of amount and percent of Title I allocation spent on choice-related transportation by LEA | *Enter brief response here* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

## Educational Stability for Students in Foster Care

ESEA

[§1111(g)(1)(E)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

[§1112(c)(5)(A)–(B)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 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***

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| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| SEA Collaboration with Child Welfare Agency | L1. Does the SEA have an established process for collaboration with the State child welfare agency?  ***Suggested Documentation:***   * 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 | *Choose an item.* |  |
| Best Interest Determinations | L2. 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?  ***Suggested Documentation:***   * SEA guidance on making best interest determinations, including any templates or checklists relevant to such determinations | *Enter brief response here* |  |
| Immediate Enrollment | L3. 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?  ***Suggested Documentation:***   * SEA guidance on immediate enrollment and records transfer | *Enter brief response here* |  |
| SEA Foster Care Point of Contact | L4. Has the SEA designated a State foster care point of contact?  ***Suggested Documentation:***   * Evidence that the SEA has designated a foster care point of contact | *Choose an item.* |  |
| SEA Foster Care Point of Contact | L5. Is the SEA foster care point of contact separate from the State’s McKinney-Vento program coordinator?  ***Suggested Documentation:***   * 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) | *Choose an item*. |  |
| LEA Points of Contact, Transportation Procedures | L6. 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:   1. If applicable, designating a point of contact for the LEA; and 2. Developing and implementing transportation procedures?   ***Suggested Documentation:***   * SEA guidance on establishing LEA foster care points of contact * LEA application for Title I, Part A funds * SEA guidance on transportation procedures | *Choose an item.* |  |
| LEA Points of Contact, Transportation Procedures | L7. 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?  ***Suggested Documentation:***   * Evidence of SEA monitoring to ensure LEA collaboration with local child welfare agencies | *Enter brief response here* |  |
| Additional Documentation | ***Suggested Documentation:***   * 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 |  |  |

## Title I-Specific Fiscal Requirements

ESEA

[§1113,](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf) [§1114(a)(2)(B), §1118(b), [§1118(c)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf) §2301, §3115(g)](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

Title I Regulations

34 C.F.R. [200.77](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-II/part-200#200.77), [200.78](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-II/part-200#200.78), [200.79](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-II/part-200#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 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***

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| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| Supplement Not Supplant Requirements | M1. Describe the process (or processes) the SEA uses to ensure that the method each LEA uses to 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.  ***Suggested Documentation:***   * Documented procedures for evaluating LEA compliance with Title I supplement not supplant requirements * Sample LEA Title I allocation methodology | *Enter brief response here* |  |
| Supplement Not Supplant Requirements | M2. How often does the SEA review LEA methodologies used to demonstrate compliance with Title I supplement not supplant requirements? | *Enter brief response here* |  |
| LEA Corrective Actions | M3. 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?  ***Suggested Documentation:***   * Sample documentation of corrections made to an LEA’s program budget/allocation because of supplanting violations | *Enter brief response here* |  |
| SEA Comparability Determination | M4. How many LEAs within the State meet the conditions for required annual determination of comparability?  ***Suggested Documentation:***   * Sample LEA comparability reports comparing Title I schools to non-Title I schools | *Enter brief response here* |  |
| SEA Comparability Determination | M5. Does the SEA require LEAs to submit written procedures for determining comparability?  ***Suggested Documentation:***   * Guidance to LEAs regarding comparability requirements | *Choose an item.* |  |
| SEA Comparability Determination | M6. 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.  ***Suggested Documentation:***   * 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 | *Enter brief response here* |  |
| SEA Review Process for LEA Comparability | M7. How does the SEA ensure that LEAs that have failed to demonstrate comparability take sufficient corrective action to address the issue?  ***Suggested Documentation:***   * Evidence of SEA monitoring follow-up to LEAs out of compliance | *Enter brief response here* |  |
| SEA Comparability Determination | M8. How many LEAs within the State failed to meet comparability requirements in the most recent school year? | *Enter number here* |  |
| Within-LEA Reservations and Allocations | M9. Describe how the SEA ensures that LEAs carry out the requirements of ESEA section 1113 and 34 C.FR. §§ 200.77 and 200.78.  ***Suggested Documentation:***   * The portion of an LEA’s plan to that includes its reservation of Title I, Part A funds for required and optional reservations and its Title I, Part A allocations to schools | *Enter brief response here* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |

## Other Title I Requirements

ESEA

[§§1111(g)  
1112  
1119  
1603](https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf)

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 form 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 follow up questions.

Subtopics:

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

***Self-Assessment Questions***

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| **Subtopic** | **Questions** | **SEA Response** | **Submitted Documentation File Name[s]** |
| School Conditions | N1. 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, consistent with the State’s approved consolidated State plan.  ***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 | *Enter brief response here* |  |
| School Transitions | N2. 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, consistent with the State’s approved consolidated State plan.  ***Suggested Documentation:***   * Training or professional development materials * Excerpts from LEA plans related to transitions, if applicable | *Enter brief response here* |  |
| State Administration; Eliminating or Modifying Fiscal Barriers | N3. Describe how the SEA minimizes and reduces duplication in rules and regulations to which the LEAs and schools are subject. | *Enter brief response here* |  |
| Coordination Requirements | N4. 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.  ***Suggested Documentation:***   * SEA guidance to LEAs regarding the requirement to develop agreements with Head Start agencies or other early childhood education programs and coordinate activities | *Enter brief response here* |  |
| Coordination Requirements | N5. 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. | *Enter brief response here* |  |
| Committee of Practitioners | N6. 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.  ***Suggested Documentation:***   * Committee of Practitioners roster for the most recent school year including the roles of the membership and other documents guiding the committee’s work such a charter, mission, and schedule of meetings | *Enter brief response here or provide responsive documentation* |  |
| Committee of Practitioners | N7. 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.  ***Suggested Documentation:***   * Communication to Committee of Practitioners regarding proposed or final rules and regulations * Agenda or meeting minutes of Committee of Practitioners | *Enter brief response here* |  |
| Educator Equity | N8. 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.  ***Suggested Documentation:***   * Updated educator equity data | *Enter brief response here* |  |
| Educator Equity | N9. 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.  ***Suggested Documentation:***   * Public report on progress | *Enter brief response here* |  |
| Educator Equity | N10. Describe how the SEA ensures each LEA receiving a Title I, Part A subgrant identifies and addresses disparities resulting in low-income and minority students having disproportionate access to ineffective, out-of-field, and inexperienced teachers.  ***Suggested Documentation:***   * LEA plan template * SEA guidance for LEAs related to equitable access to educators * SEA monitoring protocol | *Enter brief response here* |  |
| Additional Documentation | ***Suggested Documentation:***   * Other documentation that would serve as evidence for the questions asked |  |  |