

Title I, Part A Monitoring Handbook



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This Title I Part A Monitoring Handbook was prepared by:

Karl Wilson and Kreig Kelley

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Contact:

Karl Wilson

State Director of Federal Programs

Title I, ESEA, Utah State Office of Education

250 East 500 South

PO Box 144200

Salt Lake City, UT 84114-4200

Phone: 801-538-7509

E-mail: karl.wilson@schools.utah.gov

Kreig Kelley

Title I Monitoring Specialist

Title I, ESEA, Utah State Office of Education

250 East 500 South

PO Box 144200

Salt Lake City, UT 84114-4200

Phone: 801-538-7975

E-mail: kreig.kelley@schools.utah.gov

Sandra Grant

Title I Fiscal Compliance Officer

Title I, ESEA, Utah State Office of Education

250 East 500 South

PO Box 144200

Salt Lake City, UT 84114-4200

Phone: 801-538-7844

E-mail: sandra.grant@schools.utah.gov

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Purpose and Overview

The purpose of this handbook is to provide the Utah State Office of Education (USOE) Title I peer review teams with operational guidance and practical tools to conduct onsite compliance monitoring of programs operated under Elementary and Secondary Education Act (ESEA) of 1965, Title I, Part A. The purpose of Title I, Part A is to provide financial assistance to local education agencies and schools that serve high percentages or high numbers of economically disadvantaged children. This financial assistance, which is provided through state education agencies to local education agencies and schools, helps ensure that all of these children will be able to meet challenging state academic standards.

Federal law requires that the USOE monitor the operation of Title I programs in every participating Local Education Agency (LEA), whether the LEA is a school district or a charter school. The USOE developed this monitoring system during 2006, and revised it extensively in 2012. It is based on a careful review of all federal requirements, with consideration given to the unique circumstances of this state, and with attention given to the approved monitoring systems of other states.

Review items were selected from among all ESEA Title I, Part A requirements to ensure that the state review covers all major aspects of the law, and that the monitoring focuses – to the extent feasible – on those matters most related to the educational purposes of ESEA. While the USOE monitoring system covers a sample of items, LEAs are required to follow all legal requirements. This system has benefited from the input of Utah parents, school administrators, teachers, community groups, and others. It has undergone extensive legal and programmatic review to ensure that all items tie directly to federal law.

This handbook describes how on-site compliance monitoring activities will take place, scheduled in four-year cycles, for each LEA participating in Title I, Part A. Onsite compliance monitoring will include the participation of peer reviewers to ensure that this is a collaborative and supportive process. The on-site compliance monitoring is complemented by an annual desktop monitoring program (DMI-TRACKER), which is completed online by the person(s) authorized by the LEA to direct Title I, Part A programs. The USOE will monitor compliance based on a review of this desktop submission as well as related supplemental data submitted by the LEA.

This overview of the monitoring system is followed by the key principles that guided the development of the system. That is followed by a description of the peer review model, information that will guide the LEAs and the USOE prior to an on-site compliance monitoring visit, material that provides logistical support during the on-site visit, and information and tools to be used after the review is completed. The appendix contains the monitoring instrument items and sample interview guides, as well as an outline of the items addressed within yearly cycles that are to be addressed by LEAs.

Guiding Principles

The Utah State Office of Education has been guided by the following key principles in designing systems to support Utah's learning objectives for all students and to respond to the specific needs of schools and LEAs benefiting from ESEA, Title I, Part A funds.

The monitoring and school support systems will:

- Provide credible and knowledgeable support;
- Use a clear and fair process that ensures compliance;
- Build capacity for sustainable student achievement;
- Employ a rigorous and comprehensive system;
- Be practical, relevant, and efficient; and
- Create and sustain supportive partnerships with all stakeholders.

The Review Process and Instruments

Desktop and On-site Review Process

For the desktop review, the LEA will review operations of Title I, Part A programs at both the LEA and school site levels, and will assemble its own documentation. This documentation is not submitted to the USOE. Based on the annual internal review, the LEA will provide an assurance to the USOE that local documentation confirms compliance with the legal requirements. For a few items, the USOE will also examine data already on file and will make a determination of compliance.

The LEA shall utilize the web-based system, DMI-TRACKER (Desktop Monitoring Instrument), to submit responses, documents and indicators of compliance by logging in at <https://dmi.schools.utah.gov/Tracker>.

Should the LEA indicate non-compliance on an item, there will be an opportunity to provide a brief written description of the barriers or challenges to compliance and the steps that the LEA is taking to overcome these. Any item noted as non-compliant (by the LEA or by the USOE) will be subject to a scheduled corrective action report that documents resolution of the item. Should it not be feasible to immediately resolve an issue, the LEA may submit a corrective action plan that, when approved by the USOE, becomes a compliance agreement for resolution of the issue within a specified period of time (Figure A, pp. 5).

The DMI-TRACKER will have a confidential virtual “file cabinet” where the LEA may keep documents or notes regarding program operations and specific compliance items.

The annual desktop submission will be scheduled to be operational at the beginning of the school year for entry regarding current school year information. Each year, all participating LEAs will be required to complete two Desktop Monitoring Instruments:

1. Annual Core Items (Appendix B)
2. 1 Cycle Instrument, each in a rotating 4 year schedule (Appendix B)

Other required Title I data and document submissions are:

3. Utah Consolidated Application (UCA)

Title I funds will be released through Reimbursement Requests upon completion of the above mentioned submissions.

For the On-site Compliance Monitoring Visit, the USOE will notify each LEA of the year in which they can anticipate an on-site visit. Refer to the 4-Year On-site Monitoring Schedule document maintained on the USOE’s Title I web site at <http://schools.utah.gov/fsp/College-and-Career-Ready/Monitoring.aspx>. LEAs will be contacted by the USOE Education Specialist who will discuss details on the schools to be visited and a specific visit schedule. Efforts will be made to adjust the visit to best fit local calendars.

The USOE will designate a review team determined by factors that may include: the size of the LEA, the number of Title I schools and the number of participants. The review team will be led by the USOE staff, who will be assisted by one or more peer reviewers. To the extent practicable, the team will be comprised of individuals with appropriate grade-level (elementary, secondary) backgrounds, and program-specific and language expertise (for example, English language learners). The team will meet at least once prior to the on-site compliance monitoring visit in order to confirm assignments and to examine background data including: the most recent results of state assessments, results of prior compliance monitoring reviews, audits, and desktop monitoring submissions, etc.

Each visit will start with a formal entry meeting with leadership of the LEA and will end with an exit meeting. At the exit meeting, the USOE team leader will share overall impressions, note any exemplary Title I practices that were observed by the team, and give an overview of any issues that may be found non-compliant. Within 30 days of the exit meeting, the USOE will mail an On-site Compliance Monitoring Report to the LEA that includes a Summary of On-site Visit Findings Report (example, pp. 46-49) detailing any non-compliant findings. That report will provide guidance on specific responses needed. The LEA will have 30 days to respond to the report.

Instruments

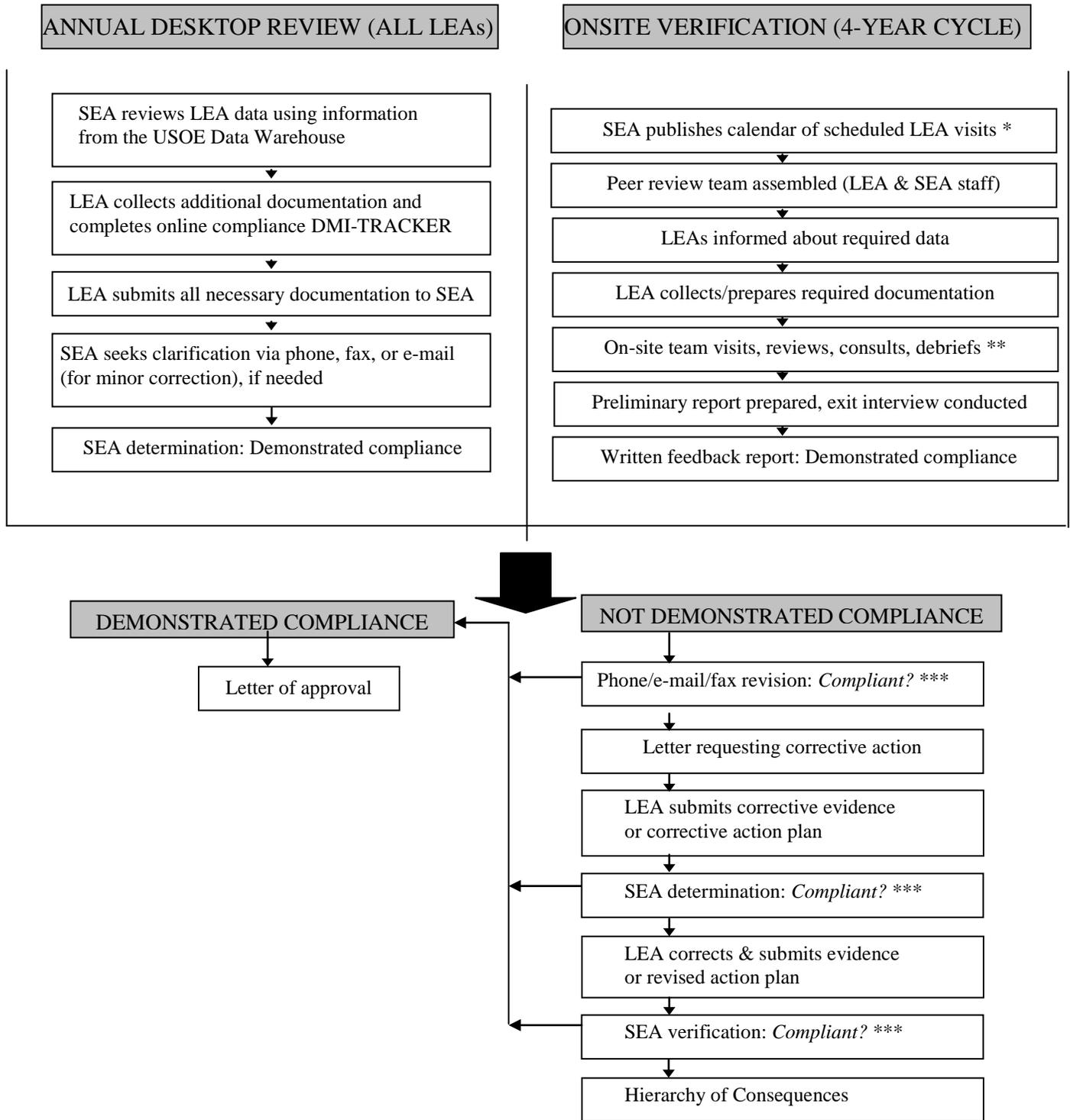
The monitoring review system (desktop and on-site) is comprised of a total of 53 items. The 2012 revision of the monitoring system divided the majority of these items among 4 year cycles, as well as an annual core cycle. Approximately 31 items may be required to complete the on-site visits. A few items are unique to school program types. The items are organized into 11 categories, as follows:

Category	Items
1. LEA UCAS Report Card**	1
2. LEA Plan	2
3. Eligibility of Funds*	3 – 5
4. Schoolwide Programs*	6 – 17
5. Targeted Assistance Programs*	18 – 24
6. Focus and Priority Schools*	25 – 30
7. Parent Involvement	30 – 36
8. Qualifications for Teachers and Paraprofessionals	37 – 39
9. Private Schools*	40 – 42
10. Fiscal Requirements	43 – 50
11. Data Reports (CSPR and FTE data)	S1 – S3

*Reviews will be modified, depending on local circumstances and specific programs in a given LEA.

** LEA UCAS Report card monitoring item is waived due to the ESEA waiver granted to the SEA by the U.S. Dept. of Education. This item is not removed from this handbook due to the possible future re-authorization of ESEA.

Figure A. USOE ESEA Title I, Part A Monitoring System



* SEA will offer training/technical assistance (including LEA self-reviews) prior to carrying out on-site reviews.
 ** SEA visit may be guided by UTAH COMPREHENSIVE ACCOUNTABILITY SYSTEM (UCAS) achievement data as well as other data gathered via the desktop review.
 *** A determination of non-compliance may be appealed through a standardized SEA appeal process.

Logistics for Onsite Reviews: Title I Monitoring

Pre-Visit Procedures

1. LEA Completes the DMI-TRACKER Desktop Monitoring Instruments
2. SEA Establishes Peer Review Teams
 - Peer Reviewer Application
 - Peer Reviewer Approval Process
 - Peer Reviewer Training
 - Peer Reviewer Duties & Responsibilities
 - Peer Reviewer Compliance Determinations
 - Establish Specific Peer Review Teams
 - Calendaring
 - Determine Number & Qualifications of Peer Reviewers Needed
3. Scheduling On-site Visits
 - Notify LEAs of Upcoming On-site Visit
 - Determine Type of Visit
 - Length of Visit
 - Number of Peer Reviewers
 - Number of Schools
 - Calendar On-site Visits
 - Identify Peer Reviewers for Monitoring Teams
 - Send Notification to Peer Reviewers
 - Date & Time of Pre-Monitoring Meeting
 - Date & Time of On-site Visit
 - Send Notification to LEA
 - Overall Schedule
 - LEA Administrative Review
 - LEA Presentation at Entrance Meeting
 - School Visits
 - Number of Peer Reviewers
4. Pre-Monitoring Meeting (morning of 1st day for On-Site visit)
 - Review of DMI-TRACKER Desktop Monitoring Instruments Submission
 - Review of Other Data
 - Specific On-site Assignments
 - Item Assignments
 - Interview Assignments
 - Logistics
 - Transportation
 - Lodging
 - Meals
 - Reimbursement Procedure

On-site Visit Procedures

5. Entrance Conference
 - Overview of Schedule & Assignments for On-site Visit
 - LEA provides overview of LEA Title I Program
 - SEA process for verifying compliance
 - Documentation Review
 - Interviews

6. LEA Administrative Review
 - Review of LEA Plans
 - Interviews
 - Review of Financial Documentation
 - Review of Personnel Documentation
 - Review of Inventory Documentation
 - Other Documentation, as needed

7. School Visits
 - Classroom Observations
 - Interviews (Principal, teachers, para-educators, parents)
 - Review School Plans
 - Review Parent Involvement Documentation
 - Student-level Interventions
 - Other Information, as needed

8. Pre- Exit Conference
 - Commendations
 - Compliance Issues
 - Compare Documentation

9. LEA Title I Exit Conference
 - Summarize On-site Compliance Monitoring Visit
 - Commendations
 - Potential Items of Non-compliance
 - Opportunity for Compliance Response
 - Process & Timeline for Corrective Action Plans, if needed
 - LEA Evaluation of On-site Compliance Monitoring Process

Post-Visit Procedures

10. LEA Opportunity to clarify/ resolve potential items of non-compliance within 30 days
11. USOE provides Title I Compliance Monitoring Report to LEA within 30 days
12. LEA submits Response to Report of Findings within 30 days
 - Compliance Response for items resolved, including documentation
 - Corrective Action Plans for approval
13. LEA Corrective Actions completed and verified within 6 months
14. SEA sends an official letter acknowledging resolution of non-compliance
15. Peer Reviewers complete evaluation of Monitoring Process

Annual Desktop Monitoring Review

Online Submission of Title I Information

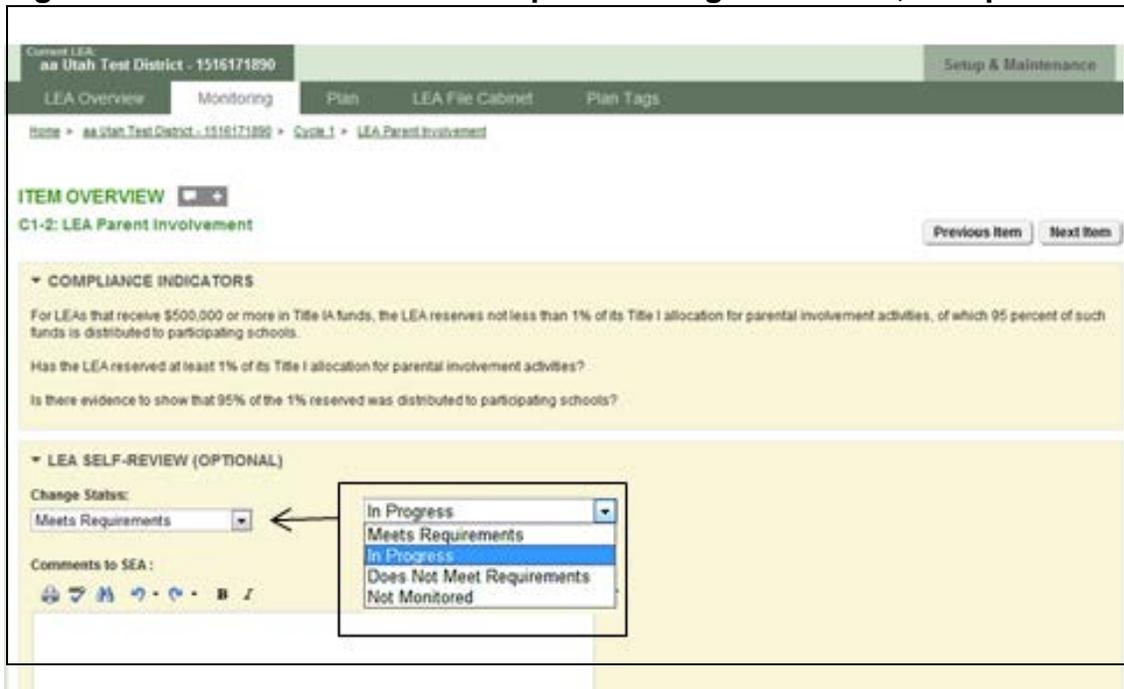
The USOE’s annual desktop self-review is an online system (DMI-TRACKER) that allows the LEA’s Title I official(s) to submit evidence and assurances of compliance with Title I, Part A requirements every year. This process allows each LEA in the state to regularly provide assurances to the USOE that its local documentation confirms compliance with legal requirements.

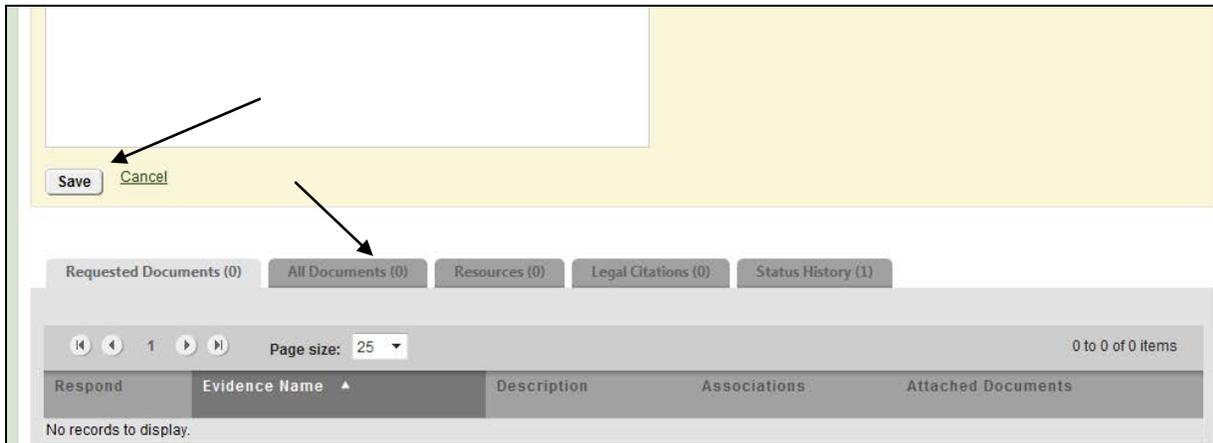
Entering & Submitting Desktop Information

- Before starting the desktop monitoring review, the LEA should review operation of the Title I, Part A programs at the LEA and school site levels using this handbook as a guide, and assemble its own documentation.
- After engaging in this internal review, the LEA then logs in to the DMI-TRACKER desktop system at <https://dmi.schools.utah.gov/Tracker/default.aspx> first answering the Criteria Questions, to determine which monitoring items are applicable to the LEA’s Title I, Part A program(s).
- The LEA must enter a compliance status for each of the legal requirement. These may be:
 - Meets Requirements
 - Does Not Meet Requirements
 - Not Monitored

The LEA response cannot be the default status of “In Progress” (Figure B). An LEA may add comments and attachments where desired. Then choose “Save” at the bottom of the page.

Figure B. USOE TRACKER Desktop Monitoring Instrument, Compliance Item 3





- Should the LEA indicate non-compliance on any item, the text box affords an opportunity to provide a brief written description of the barriers or challenges to compliance, and the steps that the LEA is taking to overcome these challenges.
- Each LEA may also store documents or notes regarding program operations and specific compliance items in its own confidential virtual “LEA File Cabinet” through the All Documents tab within each item, or the LEA File Cabinet tab at the top of each Monitoring Instrument’s tool bar. The USOE officials will not be able to access uploaded documents if the document is marked as a DRAFT (Figure C).

Figure C. USOE TRACKER Desktop Monitoring Instrument, LEA File Cabinet

Home > File Cabinet > Attach Document

ADD NEW DOCUMENT
LEA Parent Involvement

Select Document Type:

New File Please do not upload documents that contain student-identifying information
C:\Users\smoore\Docum File size limit: 500 MB Allowed file types: .docx, .doc, .xlsx, .xls, .pdf, .txt

Existing File
 Link to a web page URL
 Hard Copy Reference Only

Title *:
 Use Filename 0/100

Description: 0/500

Draft
Draft records are seen by all users with access, but can only be downloaded by users in the local LEA.

School Associations:

- Local Title I officials may complete the legal requirements/compliance items in any order they wish, and may stop and save their progress at any time.
- LEA officials may also edit their compliance status as many times as necessary before submitting their final desktop report to the State.

After Desktop Submission to the State

- Minor desktop corrections or clarifications should be clarified/resolved via phone, fax, or e-mail communication with the USOE within 10 days.
- Within 15 days of the desktop submissions, the USOE will respond to the LEA through the DMI-TRACKER system.
- Upon receipt of the desktop findings summary and report from the state, the LEA must respond to the USOE within 15 days. Any item noted as non-compliant (either by the LEA or by the USOE) will be subject to a scheduled corrective action report that documents resolution of the item.
- Once approved by the USOE, the corrective action report becomes a compliance agreement for resolution of the issue. All corrective actions must be completed and verified within 6 months, and the LEA will be able to track the status of its corrective actions via the desktop system.
- The USOE will send an official letter acknowledging resolution of non-compliance.

Sample Desktop Monitoring Report Cover Letter

(Sample may differ slightly from actual version adopted for use)

January 15, 2013

[LEA Title I Director]
[Sample LEA]
Utah

RE: Title I Desktop Monitoring Report

Dear [LEA Title I Director]:

This letter provides the official Title I Monitoring Report based on the [Sample LEA]'s submission of the DMI-TRACKER Desktop Monitoring Instrument on [insert date] and its follow-up review by state personnel. The Utah State Office of Education appreciates the attention your LEA and school staff gave to the monitoring process and their responsiveness to requests for documentation.

SUMMARY OF FINDINGS

As a result of the desktop instrument review, the Title I Review Team identified the following items for which the [Sample LEA] is to be commended:

- [Sample LEA] submitted detailed Title I budgets, inventories, and time and effort documentation via its LEA File Cabinet.

This report identifies for each compliance item a determination of finding. The determinations are outlined below:

- Met Requirement: 40 of 44 items
The evidence reviewed demonstrated compliance.
- Findings of Noncompliance: 4 Findings (Items 8, 17, 33, 50)
The evidence reviewed did not demonstrate compliance.
- Not Applicable: 11 items
The local education agency does not have programs or conditions relevant to the specific requirement.

CORRECTIVE RESPONSE(S) OR CORRECTIVE ACTION PLAN(S) AND TIMELINES

For each finding of non-compliance, the LEA is required to provide a Corrective Response or Corrective Action Plan within 30 days of receipt of this report. All Corrective Action Plans must result in demonstrated compliance within 180 days.

Corrective Response

If the LEA is able to resolve the issue of non-compliance within the 30 day period, the LEA may submit appropriate documentation through a Corrective Response (CR). The CR must include the following information:

- Identify the LEA staff responsible, including title.
- Identify each specific Title I noncompliance finding.
- Describe the specific corrective action(s) taken to resolve each noncompliance finding.
- Show the completion date of corrective action(s).
- Include documentation that demonstrates compliance.
- Include the signature of the authorized agent of the LEA.

Corrective Action Plan

If the LEA is unable to resolve the issue of non-compliance within the 30 day period, the LEA must submit a Corrective Action Plan (CAP). The CAP must include the following information:

- Identify the LEA staff responsible, including title.
- Identify each specific Title I noncompliance finding.
- Describe the specific corrective action(s) to be taken to resolve each noncompliance finding.
- Show the proposed completion date of corrective action(s).
- Identify the future documentation that will be submitted to demonstrate compliance.
- Include the signature of the authorized agent of the LEA.

If the LEA feels that any findings of non-compliance were inaccurate, the LEA has 15 days to provide a written appeal with documentation demonstrating LEA compliance with the issue in question. Written appeal forms are found on the USOE/Title Programs web site on the Monitoring Page and are to be submitted to Karl Wilson, State Director of Federal Programs. The Utah State Office of Education will provide formal written notification that the proposed LEA Appeal, CR, or CAP has been accepted or is in need of revision.

Sincerely,

Karl Wilson
State Director of Federal Programs

Kreig Kelley
Title I Monitoring Specialist

Sandra Grant
Title I Fiscal Compliance Officer

Sample Summary of DMI-TRACKER Desktop Review Findings

(Sample may differ slightly from actual version adopted for use)

UTAH STATE OFFICE OF EDUCATION
Title I, Part A Monitoring Report: Summary of DMI-TRACKER Desktop Review Findings
[Sample LEA]
2012-2013

Please Note: For all monitoring items which there had been a finding of non-compliance, please submit Corrective Response or Corrective Action Plan within 30 days to the USOE Federal Programs Director Karl Wilson. CAP/CR response forms can be found on pp.54-55 or at: <http://www.schools.utah.gov/fsp/College-and-Career-Ready/Monitoring.aspx>.

MET REQUIREMENTS:

- Item 1: LEA UCAS report card prepared and disseminated
- Item 2: LEA plan developed in consultation with stakeholders
- Item 3: LEA uses Title I funds in eligible schools
- Item 4: LEA uses single measure of poverty for Title I purposes
- Item 5: LEA sets aside Title I funds for homeless children, where appropriate
- Item 12: Teachers are included in assessment decisions in schoolwide programs
- Item 25: LEA provides academic report of student data for all Title I schools
- Item 28: Schools identified as Focus or Priority Schools consult with parents and others to revise school improvement plans
- Item 29: LEA provides technical assistance to Title I Focus or Priority Schools
- Item 32: For LEAs receiving \$500,000 or more, 1% is set aside for parental involvement
- Item 33: Title I schools develop a school parent involvement policy with parent input
- Item 34: Title I schools provide for the involvement of parents
- Item 35: Title I schools develop a school–parent compact with parent input
- Item 37: Paraprofessionals in Title I schools are highly qualified
- Item 39: LEA annually notifies parents that they may request information regarding teacher qualifications
- Item 40: LEA consults with nonpublic school officials
- Item 41: LEA provides equitable services to eligible nonpublic school children
- Item 42: LEA reserves adequate funding to provide services to eligible nonpublic school children
- Item 43: LEA maintains its fiscal effort
- Item 44: LEA uses Title I funds to supplement and not supplant state and local funding
- Item 45: LEA provides services to Title I schools that are comparable to services in non-Title I schools
- Item 46: Time and effort documentation supports Title I staffing expenditures
- Item 47: LEA provides timely certifications of Title I employee work assignments
- Item 49: LEA resolves any single audit findings within 6 months
- Item 50: Title I expenditures are reasonable and allowable

NOT APPLICABLE FOR THIS LEA

- Item 11: Applies only to onsite review
- Items 18–24: LEA does not have targeted assistance schools
- Item 40: Applies only to onsite review
- Item 42: Applies only to onsite review

FINDINGS OF NONCOMPLIANCE

- Item 8: Instruction in schoolwide programs is not provided by highly qualified staff
- Item 17: Schoolwide plans are not available to the public in an understandable and uniform format
- Item 48: LEA does not maintain the required inventory of Title I equipment

Sample DMI-TRACKER Desktop Review Findings Report

(Sample may differ slightly from actual version adopted for use)

Utah State Office of Education
Title I, Part A Monitoring Report: DMI-TRACKER Desktop Review Findings
[Sample LEA]
2012-2013

Submitted by: [LEA Title I Director]

SEA Reviewers: Kreig Kelley
Sandra Grant

Desktop Instrument Summary: Item Criteria Questions

Are there any private schools within the boundaries of your LEA?	Yes
Are you a charter school?	No
Do you have approved Schoolwide programs in your LEA?	Yes
Do you have approved Targeted Assistance programs in your LEA?	No
Do you have Title I Schools identified as a Focus or Priority School?	Yes
Do you provide Title I services to private school children?	Yes
Does the LEA have elementary or secondary schools that did not meet Annual Measureable Objectives (AMOs) projected by the UTAH COMPREHENSIVE ACCOUNTABILITY SYSTEM for two years in a row and are not Focus or Priority Schools?	No
Does your LEA receive \$500,000 or more in Title I, Part A funds?	Yes
Is your LEA scheduled for a Title I On-site Visit?	No

Desktop Monitoring Instrument Submission Summary: Title I Compliance Items

Topic	Number of Items in Compliance	Number of Items Not in Compliance
LEA Plan and Report Card	2	0
Eligibility and Use of Funds	3	0
Schoolwide Programs	9	2
Focus or Priority Schools	8	1
Parent Involvement	5	0
Qualifications for Teachers and Paraprofessionals	3	0
Private Schools	3	0
Fiscal Requirements	7	1
Title I Data Items	3	0

Peer Review Model

Peer Review Model

On-site Compliance Monitoring visits will be done with the participation of Peer Reviewers to ensure that this is a collaborative and supportive process. The peer review model is intended to provide additional resources to complement the USOE Title I staff available. By participating as Peer Reviewers, LEA staff will increase their own awareness of Title I requirements and effectiveness of programs, and will be better prepared to operate effective and efficient Title I programs in their own settings. Peer Reviewers may be either current or former Title I directors and others with documented expertise in the operation of Title I programs.

Timeline for Compliance Monitoring Team Visits

Typically, being part of a compliance monitoring team means a commitment of 1 to 4 days. The first day involves training. The Peer Reviewer(s), prior to entrance meeting, will have a short orientation which will cover tools, protocols, scheduling, reporting, and addressing problems or concerns. Participants will understand the system that will be used to monitor compliance in participating LEAs. Background materials, details about the LEA, scheduling interviews, observations and document analysis, and other logistics will be covered at the orientation meeting. The monitoring visits themselves will be from 1 to 4 days in duration. The visit will start immediately on the first day with an entrance meeting, and will continue as long as necessary, depending on the size of the LEA and/or the size of the monitoring team. The last day of the visit will be used for wrap-up of details and will include an exit meeting.

First Day	First Day	Additional day(s) as needed	Last Day
LEA Peer Review Team Orientation	Entrance Meeting; Site Visit	Site Visit(s)	Site Visit Wrap-up; Exit Interview Meeting

Monitoring Team Leader Checklist

This checklist is used to plan and then reflect on the on-site Compliance Monitoring visit. It also documents procedures used to ensure that the USOE monitoring of Title I requirements supports the six key principles for the monitoring system.¹

Preparation and Conduct of Visit

Team leader completes this form:	
	Date I contacted the LEA coordinator to confirm the on-site visit schedule and request any needed district or school maps.
	Date I finished contacting all team members, including Peer Reviewers, to confirm the schedule and prepare for the review.
	Date I received the completed desktop monitoring instruments (DMI-TRACKER, which now includes Statistical and Comparability reports), school plans, and all related materials from the LEA.
	Date I received all related material regarding LEA data and statistics that include Highly Qualified teacher data, Highly qualified paraprofessional data, LEA UCA information (Title I Building Eligibility Page, Title I Budget), Academic Performance data, and if applicable, Prior On-site Compliance Monitoring visits, Prior Notifications of findings and applicable audits of Title I or other federal Programs (prior 5 Years).
	Date and time that I conducted the preliminary team meeting prior to the visit.
	Date and time of the LEA exit meeting.
	Date that the draft on-site Compliance Monitoring Report was completed and submitted to the USOE Title I Director for review and approval.
	Date that the approved on-site Compliance Monitoring Report was mailed to the LEA.

¹Provide credible and knowledgeable support. Use a clear and fair process that ensures compliance. Build capacity for sustainable student achievement. Employ a rigorous and comprehensive system. Be practical, relevant and efficient. Create and sustain supportive partnerships with all stakeholders.

Factors That Determine Size of the Peer Review Team

- The number of Title I schools in the LEA
- The number of Title I schools identified as Focus or Priority
- The school curriculum focus
- The grade levels of Title I schools
- The qualifications of the Peer Review team
- The distance of the LEA from Peer Review members

On-site Visit School Sampling Plan and Assignment of Reviewers

In order to conduct effective and useful Compliance Monitoring visits, there needs to be a sufficient number of team members to complete the work in a timely fashion. At least two team members will visit every LEA, even in the smallest Utah school districts or charter schools. This ensures that reports can be completed in a timely fashion and enhances the reliability and validity of the process as well as building capacity across the state.

The following table illustrates typical team configurations based upon the number of schools in the district to be visited.

Number of Title I Schools	Number of Schools to be Visited	Number of Team Members	Number of Days
1	1	2	1 to 1 ½
2-5	2	2-4	1 1/2 to 2
6-10	4	4	2
11+	6	4	2 1/2 to 3

Geographic location is also a consideration. For Peer Reviewers who live considerable distances from sites, travel time and accommodations will have to be addressed. It is extremely important that all team members be present for the entire duration of the site visits. Punctuality and continuous attendance are important to ensure that the reviews are of high quality and completed in a timely manner.

The USOE Team Lead will collaborate closely with the LEA in the selection of the schools to be visited. For example, if a LEA has Focus or Priority School(s) this is justification to visit that school. As another example, schools where complaints related to Title I compliance issues have been filed or where there were previous unresolved audit findings should also be visited. Every effort will be made to respect local conditions and circumstances. However, the USOE will make the final determination regarding site visits.

Steps for LEAs to Prepare for Effective On-site Monitoring Visits

Preparing for an Effective On-site Visits

Before the Review

Complete the Desktop Monitoring Instruments (DMI-TRACKER). The Desktop Monitoring Instruments consist of an annual tool and a cyclical tool that will be completed by all LEAs who receive Title I, Part A grants in the state. While these tools take some time and effort to complete the first time, it is well worth the effort because it helps the LEA comply with the law, it helps improve schools and district programs, and it prepares a LEA for on-site visits. Also, after the instruments are completed for the first time, it is easier to track the information needed to respond in subsequent years.

Notify all schools and LEA staff involved. A series of observations, interviews, and document analyses are used by Compliance Monitoring Team members to determine whether the LEA is meeting the requirements of the law. These interviews, observations, and document analyses also take some time, so it is important that LEA and school building staff be alerted to the timelines involved. It is the USOE's intent to make the process and expectations very clear; including what will be monitored during visits. LEA personnel and school building staff should not be surprised during team visits.

During the Visit

Entrance Meeting. Entrance meetings with key LEA personnel typically take about 1 1/2 hours. LEA staff who are familiar with Title I program operation are interviewed during this time to collect vital information, set the frame for the rest of the visit, and establish rapport. This meeting acquaints staff with the Compliance Monitoring Team, it provides an opportunity to familiarize staff with the purposes and goals of the visit, and allows them to talk about the big picture at the LEA level.

Interview LEA Staff. About 3 hours are necessary with LEA staff who are most familiar with the operation of Title I programs to discuss the LEA policies, procedures, records, and other documentation used to ascertain compliance.

Building Site Visits. The USOE selects school sites to be visited in collaboration with the LEA. These site visits take from 1/2 to a full day. They consist of observations, interviews, and some document analyses as appropriate. The principal/leadership is interviewed, as are Title I teachers and staff. Parents of children in the program may also be interviewed or asked to participate in a focus group. Most important, classrooms and other program activities will be observed during the site visits. It is the USOE's intent that Compliance Monitoring Reviewers become very familiar with the day-to-day operations of schools.

Exit Meeting

The LEA Superintendent/Charter School Leader is encouraged to participate in the exit meeting that take place at the end of the visit. At that time, the team will provide LEA leadership with a preliminary review of the findings. Areas of potential non-compliance will be discussed and suggestions for resolutions of identified issues will be made. Technical assistance will also be offered for LEAs to help them meet the requirements of the law.

On-site Compliance Monitoring Team Leader Tasks and Responsibilities

The USOE Title I staff will serve as Team Leaders for the on-site Compliance Monitoring. They will typically be supported by one or more team members from the USOE or by designated Peer Reviewers.

Before the visit and throughout the process:

- Contact the LEA Director at least six weeks prior to the review to confirm the overall review schedule. Discuss tentative schedule to confirm dates, locations, and meeting times.
- Assist in the development of the detailed on-site monitoring schedule, including accommodations and other logistics.
- Identify documents, data, or materials necessary for team members to have prior to the on-site monitoring visit.
- Review and finalize on-site monitoring and logistics at least two weeks prior to the visit.
- Receive and review on-site monitoring materials.
- Coordinate on-site monitoring within the assigned LEA.
- Serve as a point of contact for the LEA.
- Respond to the needs of the LEA as they relate to the on-site monitoring process.
- Facilitate team meetings before, during, and after the on-site visit.
- Keep Compliance Monitoring Team members informed about arrangements for the on-site monitoring visit.
- Facilitate team meetings to review data and documentation prior to the on-site monitoring visit.
- During team meetings, identify areas of team concerns, if any, and develop strategies for the on-site monitoring visit.
- Request additional program staff when needed (e.g., due to illness or if a schedule requires it).
- Support the continual improvement of the on-site monitoring process.
- Support other on-site monitoring team leaders.

During the visit:

- Ensure that all scheduled activities are carried out consistent with the on-site monitoring schedule and with the monitoring system **Guiding Principles**¹
- Convene and chair team meetings including entrance/exit meetings and daily debriefings.
- Handle questions in the event of media inquiries and, when necessary, direct communication to the USOE Title I Director or the USOE public information officer.
- Offer assistance to resolve issues of non-compliance.

¹ See Page 2, Guiding Principles.

After the visit:

- Ensure that a final draft On-site Compliance Monitoring Report is prepared within 30 days of the last day of on-site monitoring, noting any commendations and any non-compliant items. Forward this draft to the USOE Title I Director for review and approval.
- Ensure that the final On-site Compliance Monitoring Report contains all required signatures.
- After review and approval of the report by the USOE Title I Director, ensure that the report is mailed to the LEA within 30 days of the final day of on-site monitoring visit.
- Review all available documents that indicate status of the LEA responses.
- Contact Compliance Monitoring Team members, as necessary, to clarify issues of non-compliance identified during the on-site monitoring review.
- Collaborate with the LEA Title I Director to promote timely resolution of non-compliant issues.
- Complete the post on-site Compliance Monitoring visit evaluation.
- Facilitate the post on-site Compliance Monitoring team meeting, if necessary.

On-site Compliance Monitoring Team Member Tasks and Responsibilities

Before the visit:

- Participate in pertinent on-site monitoring meetings.
- Participate in all development activities pertaining to the on-site Compliance Monitoring visit.
- Attend all scheduled meetings of the on-site Compliance Monitoring visit in a timely manner.
- Prepare for the on-site Compliance Monitoring visit by reviewing the provided background materials prior to the on-site visit.

During the visit:

- Function as a program expert and be responsible for monitoring the program areas assigned.
- Refer questions and concerns regarding compliance to an on-site review team leader.
- Avoid providing personal interpretations of federal Title I requirements.
- Conduct the on-site Compliance Monitoring visit, following the USOE procedures, and under the supervision of the team leader.
- Identify and assist in the reporting of areas of non-compliance.
- Work cooperatively with the team leader and other team members before, during, and after the on-site Compliance Monitoring visit.
- Use appropriate professional standards and compliance ethics while interacting with the LEA staff and other team members.
- Report to the team leader by the scheduled time.

After the visit:

- Review the final On-site Compliance Monitoring Report.

1 to 1 1/2 Day On-site Compliance Monitoring Visit Schedule A

LEAs with 1 Title I School

Title I Schools to Visit: 1

Title I On-site Review Team Members: 2

Time	Activity	Location	Personnel
Day 1			
8:00 a.m.	LEA Entrance Meeting	LEA Office	Entire Review Team
9:00 a.m.	Title I School Review	Title I School	Entire Review Team
12:00 p.m.	Lunch	TBA	Entire Review Team
1:00 p.m.	LEA Administrative Review	LEA Office	Entire Review Team
3:30 p.m.	Peer Review Team Debrief	LEA Office	Entire Review Team
Day 2			
8:30 a.m.	LEA Administrative Review (cont.)	LEA Office	Entire Review Team
10:00 a.m.	SEA Pre-Exit Meeting	LEA Office	Entire Review Team
11:00 a.m.	LEA Exit Meeting	LEA Office	Entire Review Team

1 1/2 to 2 Day On-site Compliance Monitoring Visit Schedule B

LEAs with 2-5 Title I Schools

Title I Schools to Visit: 2

Title I On-site Review Team Members: 2-3

Time	Activity	Location	Personnel
Day 1			
8:00 a.m.	LEA Entrance Meeting	LEA Office	Entire Review Team
9:00 a.m.	Title I School Review – School A	Title I School A	Entire Review Team
12:00 p.m.	Lunch	TBA	Entire Review Team
1:00 p.m.	LEA Administrative Review	LEA Office	Entire Review Team
3:30 p.m.	Peer Review Team Debrief	LEA Office	Entire Review Team
Day 2			
8:30 a.m.	Title I School Review – School B	Title I School B	Entire Review Team
12:00 p.m.	Lunch	TBA	Entire Review Team
1:00 p.m.	LEA Administrative Review (cont.)	LEA Office	Entire Review Team
2:30 p.m.	SEA Pre-Exit Meeting	LEA Office	Entire Review Team
4:00 p.m.	LEA Exit Meeting	LEA Office	Entire Review Team

2 Day On-site Compliance Monitoring Visit Schedule C

LEAs with 6-10 Title I Schools

Title I Schools to Visit: 4

Title I On-site Review Team Members: 4

Time	Activity	Location	Personnel
Day 1			
8:00 a.m.	LEA Entrance Meeting	LEA Office	Entire Review Team
9:00 a.m.	Title I School Review – School A	Title I School A	Peer Team A
9:00 a.m.	Title I School Review – School B	Title I School B	Peer Team B
12:00 p.m.	Lunch	TBA	Entire Review Team
1:00 p.m.	LEA Administrative Review	LEA Office	Peer Team A
1:00 p.m.	Title I School Review – School C	Title I School C	Peer Team B
3:30 p.m.	Peer Review Team Debrief	LEA Office	Entire Review Team
Day 2			
8:30 a.m.	LEA Administrative Review (cont.)	LEA Office	Peer Team A
8:30 a.m.	Title I School Review – School D	Title I School D	Peer Team B
12:00 p.m.	Lunch	TBA	Entire Review Team
1:00 p.m.	SEA Pre-Exit Meeting	LEA Office	Entire Review Team
3:00 p.m.	LEA Exit Meeting	LEA Office	Entire Review Team

2 1/2 Day On-site Compliance Monitoring Visit Schedule D

LEAs with 11+ Title I Schools

Title I Schools to Visit: 6

Title I On-site Review Team Members: 4

Time	Activity	Location	Personnel
Day 1			
8:00 a.m.	LEA Entrance Meeting	LEA Office	Entire Review Team
9:00 a.m.	Title I School Review – School A	Title I School A	Peer Team A
9:00 a.m.	Title I School Review – School B	Title I School B	Peer Team B
12:00 p.m.	Lunch	TBA	Entire Review Team
1:00 p.m.	LEA Administrative Review	LEA Office	Peer Team A
1:00 p.m.	Title I School Review – School C	Title I School C	Peer Team B
3:30 p.m.	Peer Review Team Debrief	LEA Office	Entire Review Team
Day 2			
8:30 a.m.	Title I School Review – School D	Title I School D	Peer Team A
8:30 a.m.	Title I School Review – School E	Title I School E	Peer Team B
12:00 p.m.	Lunch	TBA	Entire Review Team
1:00 p.m.	LEA Administrative Review (cont.)	LEA Office	Peer Team A
1:00 p.m.	Title I School Review – School F	Title I School F	Peer Team B
3:30 p.m.	Peer Review Team Debrief	LEA Office	Entire Review Team
Day 3			
8:30 a.m.	SEA Pre-Exit Meeting	LEA Office	Entire Review Team
11:00 a.m.	LEA Exit Meeting	LEA Office	Entire Review Team

Times may be adjusted based on location and size of LEA

Elementary and Secondary Education Act - Title I, Part A

**SCHOOLWIDE SCHOOL PLAN
APPROVED CHECKLIST**

Citation: Federal law [20 U.S.C. §6314(b) (1)] requires that Title I Schoolwide Programs include the following components:

School: _____

LEA: _____

Please mark “X” for Completed

- A comprehensive needs assessment of the entire school
- Schoolwide reform strategies that provide opportunities for all children to meet the State’s levels of academic achievement by using effective methods and instructional strategies based on scientifically-based research
- Instruction by highly qualified teachers
- High quality and ongoing professional development for teachers, principals, and paraprofessionals
- Strategies to attract high-quality, highly qualified teachers to high-need schools
- Strategies to increase parental involvement (such as parent literacy services)
- Plans for assisting preschool children in the transition from early childhood programs (such as Head Start, or locally-run preschool program) to elementary school programs
- Measures to include teachers in decisions regarding the use of academic assessments
- Activities to ensure that students who experience difficulty mastering the proficient or advanced levels of academic achievement standards are provided effective and timely additional assistance
- Coordination and integration of Federal, State, and local services and programs

Reviewer: _____

Date: _____

USOE/Title I Form A

Elementary and Secondary Education Act - Title I, Part A

TARGETED ASSISTANCE SCHOOL PLAN APPROVED CHECKLIST

Citation: Federal Law [20 USC §6315(b)(1)(B)] requires Targeted Assistance Programs include the following components:

School: _____

LEA: _____

Title I targeted assistance schools are required to develop a school plan that ensures quality supplemental educational services are provided to eligible children to assist them in meeting the state's academic standards.

Please mark "X" for Completed

- The school has a defined procedure for identifying eligible children. [ESEA (1115)(a-b)]
 - Identifies children who are failing or most at risk of failing to achieve state standards, including a rank order of eligible children to provide services to those in greatest need.
 - Eligible children might include those who are: economically disadvantaged, migrant, homeless, limited English proficient, formerly Head Start participants, or neglected/delinquent.

- Program resources help participating children meet state's challenging student academic achievement standards expected for all children. [ESEA (1115)(c)(1)(A)]

- Planning for children served by Title I is incorporated into existing school planning. [ESEA (1115)(c)(1)(B)]

- Effective methods and instructional strategies are based on scientifically based research that strengthens the core academic program of the school. [ESEA (1115)(c)(1)(C)(i, ii, iii)]
 - Primary consideration is given to providing extended learning time.
 - Provide an accelerated a high quality curriculum.
 - Minimizes the removal of children from the regular education classroom during regular school hours for Title I instruction and services.

- Coordinate with and support the regular education program, which may include services to assist pre-school children in the transition from early childhood programs. [ESEA(1115)(c)(1)(D)]

- Provide instruction by highly qualified teachers. [ESEA(1115)(c)(1)(E)]

- Provide opportunities for professional development for teachers, principals, and paraprofessionals; and, if appropriate, to parents, and other staff who work with participating children. [ESEA(1115)(c)(1)(F)]

- Provide strategies to increase parent involvement in accordance with section 1118. [ESEA(1115)(c)(1)(G)]

- Coordinate and integrate Federal, State, and local services and programs. [ESEA(1115)(c)(1)(H)]

- The school has a defined procedure for reviewing, on an ongoing basis, the progress of participating children and revising the targeted assistance program, if necessary, to provide additional assistance to enable such children to meet the state's challenging student academic achievement standards. [ESEA(1115)(c)(2)(B)]

LEA Approval: _____

Date: _____

Reviewer: _____

Date: _____

USOE/Title I Form B

LEA Parent Policy Checklist

LEA: _____

Citation: Federal law [20 U.S.C. §6318(a)(2)] requires that each LEA that receives Title I funds develop jointly with, agree on with, and distribute to, parents of participating children, a written parent involvement policy. This policy must describe how the LEA will:

Please mark "X" for Completed

- Involve parents in the joint development of the LEA plan annually updated in the UCA (Utah Consolidated Application).
- Involve parents in the process of school review and improvement
- Provide the coordination, technical assistance, and other support necessary to assist participating schools in planning and implementing effective parent involvement activities to improve student academic achievement and school performance
- Build the schools' and parents' capacity for strong parental involvement
- Coordinate and integrate parental involvement strategies under this part with parental involvement strategies under other programs, such as the Head Start program, Parents as Teachers program, Home Instruction Program for Preschool Youngsters, and locally-run preschool program(s)
- Conduct, with the involvement of parents, an annual evaluation of the content and effectiveness of the parental involvement policy in improving the academic quality of the schools served
- Involve parents in the activities of the schools served under this part

Reviewer: _____

Date: _____

USOE/Title I Form C

School-Parent Policy Checklist

School: _____ LEA: _____

Citation: Federal law [20 U.S.C. §6318(b)(c)(e)] requires that each school served under Title I shall jointly develop with, and distribute to, parents of participating children, a written parental involvement policy; agreed on by such parents; that shall describe the means for carrying out the following requirements:

Please mark "X" for Completed

- Convene an annual meeting, at a convenient time, to which all parents of participating children shall be invited and encouraged to attend, to inform parents of their school's participation in Title I and their right to be involved
- Offer flexible meeting times, such as meetings in the morning or evening
- Involve parents, in an organized, ongoing, and timely way, in the planning, review, and improvement of the school parental involvement policy and the joint development of the Title I Schoolwide Plan
- Provide parents with a description and explanation of the curriculum in use at the school, the forms of academic assessment used to measure student progress, and the proficiency levels students are expected to meet
- Provide assistance to parents, as appropriate, in understanding such topics as the State's academic content standards and State and local academic assessments
- Provide materials and training to help parents work with their children to improve their children's achievement, such as literacy training
- To the extent feasible and appropriate, coordinate and integrate parent involvement programs and activities with Head Start, the Home Instruction Programs for Preschool Youngsters, the Parents as Teachers Program, public preschool and other programs
- Ensure that information related to school and parent programs, meetings, and other activities is sent to the parents of participating children in a format and, to the extent practicable, in a language the parents can understand
- Provide such other reasonable support for parental involvement activities as parents may request

Reviewer: _____ Date: _____
USOE/Title I Form D

School-Parent Compact Requirements

Citation: Federal law [20 U.S.C. §6318(d)] requires that each school served under Title I shall jointly develop with parents a school-parent compact that outlines how parents, the entire school staff, and students will share the responsibility for improved student academic achievement and the means by which the school and parents will build and develop a partnership to help children achieve the State's high academic standards. This school-parent compact must:

Please mark "X" for Completed

- Describe the school's responsibility to provide high-quality curriculum and instruction in a supportive and effective learning environment
- Describe the ways in which each parent will be responsible for supporting their children's learning, such as monitoring attendance, homework completion, and television watching, as well as volunteering in their child's classroom
- Address the importance of communication between teachers and parents on an ongoing basis through, at a minimum:
 - Annual parent-teacher conferences in elementary schools
 - Frequent reports to parents on their children's progress
 - Reasonable access to staff
 - Opportunities to volunteer and participate in their child's class
 - Observation of classroom activities

Reviewer: _____

Date: _____

USOE/Title I Form E

Private School Consultation Checklist

LEA: _____

Citation: Federal law [20 U.S.C. §6320(b); 34 C.F.R. §200.63] requires that each School District that receives Title I funds provide eligible private school children, their teachers, and their families with Title I educational services or benefits that are equitable to those provided to eligible public school children, their teachers, and their families. To do so, the LEA must first consult in a timely and meaningful manner with appropriate private school officials during the design and development of the LEA's Title I programs.

The LEA must maintain in its records and provide to the SEA an affirmation, by indicating the type of required consultation occurred with each Not-for-Profit Private School on the UCA Private School page.

At a minimum, the School District must consult with appropriate private school officials on the following:

Please mark an "X" beside each requirement met

- How the District will identify the needs of eligible private school children
- What services the District will offer to eligible private school children
- How and when the District will make decisions about the delivery of services
- How, where, and by whom the District will provide services to eligible private school children
- How the District will assess the services to eligible private school children, and how the District will use the results of that assessment to improve Title I services
- The size and scope of the equitable services that the District will provide to eligible private school children, and the proportion of funds that the District will allocate for these services
- The method or sources of data that the District will use to determine the number of private school children from low-income families residing in participating public school attendance areas, including whether the District will extrapolate data if a survey is used
- The equitable services the District will provide to teachers and families of participating private school children

Reviewer: _____

Date: _____

USOE/Title I Form F

On-site Review Team Pre-Exit Meeting Checklist

Scheduling: The on-site review team’s pre-exit meeting is held on the last day of the on-site visit.

Participants: The USOE team leader, Peer Reviewers

Objective: As a result of this meeting, the USOE team leader will be prepared to discuss the team’s findings with the LEA at the LEA exit meeting and develop a written notification of findings for the LEA.

Activities:

- Review achievement data for participating students, DMI-TRACKER self-reviews, findings to date, and corrective actions;
- Discuss the legal requirements and compliance indicators in the context of the on-site observations and interviews conducted;
- Make additional assignments for team members to complete the on-site review (if necessary).

Compliance Item Checklist

Item	Instrument	Topic	Legal Requirement	Compliant?
1	Waived	LEA UCAS Report Card	The LEA prepares and disseminates a UTAH COMPREHENSIVE ACCOUNTABILTY SYSTEM (UCAS) report card. ¹	N/A___
2	A	LEA Plan	The UCA Plan was developed in consultation with teachers, principals, administrators (including administrators of programs described in other parts of this title), and other appropriate school personnel, and with parents of children in schools served under this part.	Yes ___ No ___
3	A	Eligibility and Use of Funds	The LEA uses Title I funds only in eligible school attendance areas/schools.	Yes ___ No ___
4	A	Eligibility and Use of Funds	The LEA uses the same measure of poverty with respect to all school attendance areas to: (a) identify eligible school attendance areas; (b) determine the ranking for each area; and (c) determine allocations.	Yes ___ No ___

¹ LEA UCAS Report card monitoring item is waived due to the ESEA waiver granted to the SEA by the U.S. Dept. of Education. This items is not removed from this handbook due to the possible future re-authorization of ESEA.

Item	Instrument	Topic	Legal Requirement	Compliant?
5	A	Eligibility and Use of Funds	The LEA sets aside funds as necessary to provide services comparable to those provided to children in schools funded under this part to serve, where appropriate, eligible homeless children who do not attend participating schools and children who live in institutions for neglected or delinquent children.	Yes ___ No ___ N/A___
6	4	Schoolwide Programs	Schoolwide project schools have conducted a comprehensive needs assessment of the entire school, based on information about the performance of children in relation to the state content and student performance standards (Common Core State Standards).	Yes ___ No ___ N/A___
7	2	Schoolwide Programs	For schools approved by the LEA to operate a schoolwide program, required schoolwide reform strategies are implemented.	Yes ___ No ___ N/A___
8	1	Schoolwide Programs	In schoolwide program schools, instruction is provided by a highly-qualified staff.	Yes ___ No ___ N/A___
9	2	Schoolwide Programs	In schoolwide program schools, high-quality and ongoing professional development is provided for teachers, principals and paraprofessionals and, if appropriate, pupil services personnel, parents, and other staff to enable all children to meet the state's student academic achievement standards.	Yes ___ No ___ N/A___
10	1	Schoolwide Programs	In schoolwide program schools, strategies are implemented to attract highly qualified teachers to high-need schools.	Yes ___ No ___ N/A___
11	2	Schoolwide Programs	Schoolwide program schools implement plans for assisting children in the transition from early childhood programs to local elementary school programs.	Yes ___ No ___ N/A___
12	4	Schoolwide Programs	In schoolwide program schools, teachers are included in decisions regarding the use of assessments.	Yes ___ No ___ N/A___
13	4	Schoolwide Programs	In schoolwide program schools, procedures are in place to ensure that students who experience difficulty mastering any of the proficient or advanced levels of academic standards are provided effective, timely additional assistance.	Yes ___ No ___ N/A___
14	4	Schoolwide Programs	In schoolwide program schools, there is coordination and integration of federal, state, and local services and programs.	Yes ___ No ___ N/A___
15	4	Schoolwide Programs	In schoolwide program schools, schools have developed comprehensive plans for reforming the total instruction program.	Yes ___ No ___ N/A___

Item	Instrument	Topic	Legal Requirement	Compliant?
16	4	Schoolwide Programs	In schoolwide program schools, schoolwide plans are developed with the involvement of parents and other members of the community to be served and individuals who will carry out such plans.	Yes ___ No ___ N/A___
17	4	Schoolwide Programs	In schoolwide program schools, school plans are in an understandable and uniform format and are available to the LEA, parents, and the public.	Yes ___ No ___ N/A___
18	4	Targeted Assistance	Targeted assistance programs focus on children who are failing or most at-risk of failing to meet State standards, using multiple, educationally-related, and objective criteria.	Yes ___ No ___ N/A___
19	4	Targeted Assistance	Children from preschool through Grade 2 are selected solely on the basis of such criteria as teacher judgment, interviews with parents, and developmentally appropriate measures.	Yes ___ No ___ N/A___
20	2	Targeted Assistance	Targeted assistance programs use effective methods and instructional strategies that are proven by scientifically-based research that strengthen the core academic program of the school and improve the achievement of children, and that: (a) Give primary consideration to extended time; (b) Help provide an accelerated, high-quality curriculum; and (c) Minimize removing children from the regular classroom during regular school hours.	Yes ___ No ___ N/A___
21	2	Targeted Assistance	Targeted assistance program is coordinated with and supports the regular education program.	Yes ___ No ___ N/A___
22	1	Targeted Assistance	In targeted assistance schools, instruction is provided by highly qualified staff.	Yes ___ No ___ N/A___
23	2	Targeted Assistance	In targeted assistance schools, opportunities are provided for professional development for personnel and, if appropriate, parents, who work with participating children either in the Title I program or the regular education program.	Yes ___ No ___ N/A___
24	4	Targeted Assistance	In targeted assistance schools, the progress of participating children is reviewed on an ongoing basis to make program revisions, and, if necessary, provide additional assistance to children in meeting the state's challenging academic achievement standards.	Yes ___ No ___ N/A___

Item	Instrument	Topic	Legal Requirement	Compliant?
25	1	Focus and Priority Schools	Results of the annual review of student achievement data from all participating schools are publicized and disseminated to parents, teachers, principals, schools, and the community.	Yes ___ No ___ N/A___
26	A	Focus and Priority Schools	The SEA identifies as Title I Focus and Priority Schools, any elementary or secondary school that fails, for two consecutive years, to achieve acceptable growth as measured by the UTAH COMPREHENSIVE ACCOUNTABILTY SYSTEM.	Yes ___ No ___ N/A___
27	A	Focus and Priority Schools	Does the LEA have elementary or secondary schools that did not meet Annual Measureable Objectives (AMOs) projected by the UTAH COMPREHENSIVE ACCOUNTABILTY SYSTEM for two years in a row and are not Focus or Priority Schools?	Yes ___ No ___ N/A___
28	A	Focus and Priority Schools	Focus and Priority Schools, in consultation with parents, the LEA, and the school support team, develop and/or revise their school plans in ways that meet all required components to have the greatest likelihood of improving the performance of participating children, and submit such plans to the LEA for approval.	Yes ___ No ___ N/A___
29	A	Focus and Priority Schools	For each school identified as a Focus or Priority School, the LEA ensures the provision of technical assistance as the school develops and implements the Title I Focus and Priority School(s) improvement plan throughout the plan's duration.	Yes ___ No ___ N/A___
30	A	Focus and Priority Schools	For schools identified as Focus or Priority Schools, the LEA provides parents with notice of such identification.	Yes ___ No ___ N/A___
31	3	Parent Involvement	The LEA has developed, jointly with parents of participating children, a parent involvement policy that reflects the content described in 20 USC §6318(a)(2). The policy has been distributed to parents, saved in the Document Library of the LEA's DMI-TRACKER and UCA, and includes an evaluation of the effectiveness of the parent involvement policy and activities.	Yes ___ No ___ N/A___
32	A	Parent Involvement	For LEAs that receive \$500,000 or more in Title IA funds, the LEA reserves not less than 1% of its Title I allocation for parental involvement activities, of which 95% of such funds is distributed to participating schools.	Yes ___ No ___ N/A___
33	3	Parent Involvement	Each participating school has developed jointly with, and distributed to, parents of participating children, a written parent involvement policy, agreed upon by such parents.	Yes ___ No ___ N/A___

Item	Instrument	Topic	Legal Requirement	Compliant?
34	A	Parent Involvement	Each participating school provides for the involvement of parents as specified in subsection ESEA 1118 20 USC §6318(c).	Yes ___ No ___
35	3	Parent Involvement	Participating schools have jointly developed with parents of participating children a school-parent compact.	Yes ___ No ___ N/A___
36	3	Parent Involvement	School-parent compacts outline how parents, school staff, and students will share the responsibility and define the means for improving student achievement.	Yes ___ No ___ N/A___
37	1	Qualifications for Teachers and Paraprofessionals	All paraprofessionals working in a program supported by Title I funds are highly qualified as defined in 20 USC §6319(c–e), and provide services as allowed under 20 USC §6319(g).	Yes ___ No ___ N/A___
38	1	Qualifications for Teachers and Paraprofessionals	If Title I staff assume limited duties that are assigned to similar personnel who are not working in Title I, including duties beyond classroom instruction or that do not benefit participating children, the amount of time spent on such duties must not exceed in the same proportion of total work time as prevails with respect to similar personnel at the same school.	Yes ___ No ___ N/A___
39	3	Qualifications for Teachers and Paraprofessionals	At the beginning of each year, the LEA notifies parents of each student attending a Title I participating school that the parents may request, and the LEA will provide, upon request, information regarding the professional qualifications of the student’s classroom teachers. Additionally, a school that receives funds under this part shall provide to each individual parent timely notice that the parent’s child has been assigned to, or has been taught for four or more consecutive weeks, by a teacher who is not highly qualified.	Yes ___ No ___ N/A___
40	A	Private Schools	The LEA consults with appropriate nonpublic school officials in a timely and meaningful manner regarding the provision of Title I educational services to eligible children, and in the design and development of its Title I program.	Yes ___ No ___ N/A___
41	A	Private Schools	Educational services and benefits for eligible nonpublic school children are equitable in comparison to services and other benefits for participating public school children.	Yes ___ No ___ N/A___
42	A	Private Schools	Funds reserved for expenditures for services to private school children are equal to the proportion of funds allocated to participating school attendance areas based on the number of children from low-income families who attend nonpublic schools.	Yes ___ No ___ N/A___

Item	Instrument	Topic	Legal Requirement	Compliant?
43	A	Fiscal Requirements	The LEA maintains its fiscal effort when compared to the previous fiscal year.	Yes ___ No ___
44	A	Fiscal Requirements	The LEA uses Title I funds to supplement and not supplant state and local funding.	Yes ___ No ___
45	A	Fiscal Requirements	The LEA provides services to Title I schools that, taken as a whole, are at least comparable to services in schools that are not receiving Title I funds.	Yes ___ No ___
46	A	Fiscal Requirements	Charges for wages and salaries of employees who work on multiple activities or cost objectives are supported by time and effort documentation.	Yes ___ No ___ N/A___
47	A	Fiscal Requirements	Salaries of employees who work on a single Federal award or cost objective are supported by periodic certifications that the employees work solely on that program for the period covered by the certification.	Yes ___ No ___
48	A	Fiscal Requirements	The LEA maintains an inventory of equipment purchased with Title I funds that meets the requirements of 34 CFR §80.32(d).	Yes ___ No ___ N/A___
49	A	Fiscal Requirements	The LEA resolves any issues identified in a single audit related to Title I within 6 months of receiving the audit report.	Yes ___ No ___ N/A___
50	A	Fiscal Requirements	All expenditures incurred under Title I, including instructional supplies and materials, must be reasonable and allowable under the guidelines set forth by 2 CFR Part 225, Appendix A, Section C.	Yes ___ No ___
S1	A	Title I Data Reports	Schoolwide Staff Information – count of Title I staff in Schoolwide schools	Yes ___ No ___ N/A___
S2	A	Title I Data Reports	Targeted Assistance Staff Information – count of Title I staff in Targeted Assistance schools	Yes ___ No ___ N/A___
S3	A	Title I Data Reports	Count of Students served in Targeted Assistance Schools by Grade, Ethnicity	Yes ___ No ___ N/A___

Instrument: A- Annual Core Item Instrument
1 – Yearly Cycle 1
2 – Yearly Cycle 2
3 – Yearly Cycle 3
4 – Yearly Cycle 4

USOE/Title I Form G

On-site Compliance Monitoring Team Pre-Exit Meeting Template

LEA: _____

The pre-exit meeting is held on the last day of the visit. It is intended to provide the LEA staff with a preliminary review of findings, verify compliance, and offer technical assistance including a discussion on how to resolve non-compliance issues.

I. IDENTIFICATION OF POSITIVE ASPECTS/POTENTIAL COMMENDATIONS

What	Where Observed

II. ITEMS WITH WHICH THE LEA IS NOT IN COMPLIANCE (FINDINGS)

Item	Topic	Preliminary Finding	Where Observed

III. ON-SITE MONITORING REVIEW DEBRIEF:

What went well?

What could be improved?

USOE/ Title I Form H

On-site Compliance Monitoring Team Exit Meeting With LEA

Scheduling

The exit meeting with the LEA is held on the last day of the on-site review, after the on-site Compliance Monitoring team has conducted its internal pre-exit meeting and discussed its findings.

Participants

The Superintendent/Charter School Leader is encouraged to attend the exit meeting. The LEA may include all other persons involved in the on-site review process as appropriate. All members of the on-site Compliance Monitoring team are to attend.

Objective

As a result of this meeting, the LEA will be aware of the scope of the on-site Compliance Monitoring team's findings and the USOE team leader will be prepared to develop a written notification of findings for the LEA.

Activities

The USOE team leader will discuss the on-site Compliance Monitoring team's preliminary compliance findings (recorded during the pre-exit meeting). The LEA's DMI-TRACKER self-reviews, corrective actions and discrepancies from the DMI-TRACKER desktop reviews that are discovered during the on-site review may be discussed with the LEA staff. LEA staff will have an opportunity to ask questions about the USOE review team's findings and, if appropriate, present additional documentation to demonstrate compliance for items in question.

During the LEA exit meeting, the on-site Compliance Monitoring team members will:

- Emphasize that the DMI-TRACKER desktop submission and the on-site reviews are assurances of the LEA's compliance with federal laws and regulations.
- Indicate how well the LEA's DMI-TRACKER desktop self-review process worked.
- Discuss the potential findings from the on-site compliance review and, if there are any findings of non-compliance, indicate that the LEA may take corrective action by submitting documentation of compliance resolution to the USOE within 30 days.
- Once the USOE provides the On-site Compliance Monitoring Report, the LEA will prepare corrective action plans as needed within 30 days.

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Sample On-site Compliance Monitoring Report Cover Letter

[Sample may differ slightly from actual version adopted for use.]

[May 20, 2013]

[LEA Title I Director]
[Sample LEA]
Utah

RE: [Sample LEA] Title I On-site Compliance Monitoring Report

Dear [Title I Director]:

This letter constitutes the official Title I Compliance Monitoring Report based on the [Sample LEA] on-site visit that was conducted [Date] along with the follow-up review with LEA administrators. The Utah State Office of Education appreciates the attention your LEA and school staff gave to the monitoring process and their responsiveness to requests for documentation and interviews.

SUMMARY OF VISIT

The Title I Monitoring Team visited the [Sample LEA] office and the following sites as part of the on-site review:

- [Example] Title I Elementary School
- [Example] Title I Middle School

The process included a review of several sources of data:

- Documentation (plans, agendas, policies, reports, financial plans and budgets, etc.)
- Interviews (LEA Title I Director, business administrator, human resources director, principals, teachers, and parents)
- Classroom observations

SUMMARY OF FINDINGS

During the on-site review, the Title I Compliance Monitoring Team identified the following specific efforts for which the [Sample LEA] was commended at the Title I Review Exit Meeting:

Commendation(s):

- [Sample LEA] maintains comprehensive Title I inventories and does a good job documenting staff certifications and time and effort. The LEA met all Title I Fiscal Requirements (Items 44–46).

This report identifies a determination of finding for each compliance item. The determinations are outlined below:

- Met Requirement: 37 of 50 items
The evidence reviewed demonstrated compliance.
- Recommendations: 0 items
The evidence reviewed demonstrated compliance; the Utah State Office of Education recommends the LEA consider strengthening efforts to enhance effectiveness of programs.
- Findings of Non-compliance: 10 Findings (Items 2, 8, 11, 33, 35, 39, 40, 43, 45)
The evidence reviewed did not demonstrate compliance.
- Not Applicable: 4 items
The local education agency does not have programs or conditions relevant to these specific indicators.

CORRECTIVE RESPONSE(S) OR CORRECTIVE ACTION PLAN(S) AND TIMELINES

For each finding of non-compliance, the LEA is required to provide a Corrective Response within 30 days, or Corrective Action Plan within 30 days of receipt of this report. All Corrective Action Plans must result in demonstrated compliance within 180 days.

Corrective Response

If the LEA is able to resolve the issue of non-compliance within the 30 day period, the LEA may submit appropriate documentation through a Corrective Response (CR). The CR must include the following information:

- Identify the LEA staff responsible, including title.
- Identify each specific Title I non-compliance finding.
- Describe the specific corrective action(s) taken to resolve each non-compliance finding.
- Show the completion date of corrective action(s).
- Include documentation that demonstrates compliance.
- Include the signature of the authorized agent of the LEA.

Corrective Action Plan

If the LEA is unable to resolve the issue of non-compliance within the 30 day period, the LEA must submit a Corrective Action Plan (CAP). The CAP must include the following information:

- Identify the LEA staff responsible, including title.
- Identify specific Title I non-compliance item.
- Describe the specific corrective action(s) to be taken to resolve each non-compliance finding.
- Show the proposed completion date of corrective action(s).
- Identify the future documentation that will be submitted to demonstrate compliance.
- Include the signature of the authorized agent of the LEA.

If the LEA feels that any findings of non-compliance is inaccurate, the LEA has 30 days to provide a written appeal with documentation demonstrating LEA compliance of the issue in question. Written appeals are to be submitted to Karl Wilson, State Director of Federal Programs. The Utah State Office of Education will provide formal written notification that the proposed LEA Appeal, CR, or CAP has been accepted or is in need of revision.

Sincerely,

Karl Wilson
State Director of Federal Programs

Kreig Kelley
Title I Monitoring Specialist

Sandra Grant
Title I Monitoring Specialist

Sample Summary of On-site Review Findings

(Sample may differ slightly from actual version adopted for use.)

UTAH STATE OFFICE OF EDUCATION
Title I, Part A Monitoring Report: Summary of On-site Review Findings
[Sample LEA]

Onsite Monitoring Visit Date(s): [May 9–10]

Onsite Review Team: Kreig Kelley, Sandra Grant, Peer Reviewer 1, Peer Reviewer 2

Please Note: For all monitoring items for which there is a "Finding," please submit Corrective Response or Corrective Action Plan to the USOE Title I Director Karl Wilson. Electronic templates for the Corrective Response or Corrective Action Plan (pp. 51-54) are available online at www.schools.utah.gov/fsp/College-and-Carrer-Ready/Monitoring.aspx

MET REQUIREMENTS

- Item 1: LEA UTAH COMPREHENSIVE ACCOUNTABILITY SYSTEM report prepared and disseminated
- Item 3: LEA uses Title I funds in eligible schools
- Item 4: LEA uses single measure of poverty for Title I purposes
- Item 5: LEA sets aside Title I funds for homeless children, where appropriate
- Item 6: Schoolwide projects conduct comprehensive needs assessment
- Item 7: Schoolwide programs implement schoolwide reform strategies
- Item 9: High quality professional development is provided in schoolwide programs
- Item 10: Strategies are implemented to attract highly qualified teachers in schoolwide programs
- Item 12: Teachers are included in assessment decisions in schoolwide programs
- Item 13: Schoolwide programs implement strategies to identify and serve struggling students
- Item 14: Schoolwide programs coordinate with federal, state, and local programs
- Item 15: Schoolwide programs have comprehensive plans for reforming instruction
- Item 16: Schoolwide plans are developed with the involvement of parents and others
- Item 17: Schoolwide plans are available to the public in an understandable and uniform format
- Item 25: LEA provide an annual report of student data for all Title I schools
- Item 26: SEA identifies Focus and Priority Schools
- Item 27: LEA identifies elementary or secondary schools that did not meet Annual Measureable Objectives (AMOs) projected by the UTAH COMPREHENSIVE ACCOUNTABILITY SYSTEM for two years in a row and are not Focus or Priority Schools, if necessary.
- Item 28: Schools identified as Focus or Priority Schools consult with parents and others to revise school improvement plans
- Item 29: LEA provides technical assistance to Title I Focus and Priority Schools
- Item 32: For LEAs receiving \$500,000 or more, 1% is set aside for parental involvement
- Item 33: Title I schools develop a school parent involvement policy with parent input
- Item 34: Title I schools provide for the involvement of parents
- Item 35: School–parent compacts outline shared responsibilities
- Item 35: Paraprofessionals in Title I schools are highly qualified
- Item 38: Title I staff are not assigned excessive non-instructional duties

- Item 40: LEA consults with nonpublic school officials
- Item 41: LEA provides equitable services to eligible nonpublic school children
- Item 42: LEA reserves adequate funding to provide services to eligible nonpublic school children
- Item 43: LEA maintains its fiscal effort
- Item 44: LEA uses Title I funds to supplement and not supplant state and local funding
- Item 45: LEA provides services to Title I schools that are comparable to services in non-Title I schools
- Item 46: Time and effort documentation supports Title I staffing expenditures
- Item 47: LEA provides timely certifications of Title I employee work assignments
- Item 48: LEA maintains an inventory of Title I equipment
- Item 49: LEA resolves any single audit findings within 6 months
- Item 50: Title I expenditures are reasonable and allowable

MET REQUIREMENTS, WITH RECOMMENDATIONS

NOT APPLICABLE FOR THIS LEA

- Items 18–24: LEA does not have targeted assistance schools

FINDINGS OF NON-COMPLIANCE

- Item 2: LEA plan developed in consultation with stakeholders
Reference(s): 20 USC §6312(d)(1), ESEA §1112(d)(1)
Legal Requirement: The LEA plan was developed in consultation with teachers, principals, administrators (including administrators of programs described in other parts of this title), and other appropriate school personnel, and with parents of children in schools served under this part.
Comments: LEA did not consult with parents in developing LEA plan reflected in the UCA.
- Item 8: Highly qualified staff provide instruction in schoolwide programs
Reference(s): 20 USC §6314(b)(1)(C), 20 USC §6319(c–e), 20 USC §7801(23), 34 CFR §200.28(b), ESEA §1114(b)(1)(C), ESEA §9101(23)
Legal Requirement: In schoolwide program schools, instruction is provided by a highly qualified staff.
Comments: None
- Item 11: Schoolwide programs provide for transition from early childhood program to elementary school
Reference(s): 20 USC §6314(b)(1)(G), ESEA §1114(b)(1)(G)
Legal Requirement: Schoolwide program schools implement plans for assisting children in the transition from early childhood programs to local elementary school programs.
Comments: No transition plans in place
- Item 33: LEA provides parent notification for schools identified as Focus and/or Priority schools
Reference(s): 20 USC §6316(b)(6), 34 CFR §200.51, ESEA §1116(b)(6)

Legal Requirement: For schools identified as Focus and or Priority Schools, the LEA provides parents with notice of such identification.

Comments: None

- Item 35: LEA parent involvement policy was developed jointly with parents of participating children
Reference(s): 20 USC §6318(a)(2), ESEA §1118(a)(2)
Legal Requirement: The LEA has developed, jointly with parents of participating children, a parent involvement policy that reflects the content described in 20 USC §6318(a)(2). The policy has been distributed to parents and included in the LEA plan within the UCA, and includes an evaluation of the effectiveness of the parent involvement policy and activities.
Comments: Parents not involved in development of policy.
- Item 39: Title I schools develop a school-parent compact with parent input
Reference(s): 20 USC §6318(d) ESEA §1118(d)
Legal Requirement: Participating schools have jointly developed with parents of participating children a school-parent compact.
Comments: Parents not involved in development of school-parent compacts.
- Item 43: LEA annually notifies parents that they may request information regarding teacher qualifications
Reference(s): 20 USC §6311(h)(6), 34 CFR §200.61, ESEA §1111(h)(6)
Legal Requirement: At the beginning of each year, the LEA notifies parents of each student attending a Title I participating school that the parents may request and the agency will provide, upon request, information regarding the professional qualifications of the student's classroom teachers.
Comments: This information has not been provided to parents.

Sample On-site Review Findings Report

(Sample may differ slightly from actual version adopted for use.)

Utah State Office of Education
Title I, Part A Monitoring Report: On-site Review Findings
[Sample LEA]
2012–2013

ON-SITE REVIEW SUMMARY: TITLE I COMPLIANCE ITEMS

Onsite Review Team: Kreig Kelley, Sandra Grant, Peer Reviewer 1, Peer Reviewer 2

Onsite Review: [May 9-10, 2013]

Topic	Number of Items in Compliance	Number of Items Not in Compliance
LEA Plan and UCAS School Report Card	1	1
Eligibility and Use of Funds	3	0
Schoolwide Programs	10	2
Focus or Priority Schools	9	1
Parent Involvement	4	2
Qualifications for Teachers and Paraprofessionals	3	1
Private Schools	3	0
Fiscal Requirements	8	0
Title I Data Reports	3	0

DMI-TRACKER SUBMISSION SUMMARY

Submitted by: [LEA Title I Director]

Submission date: [Date]

Are you a charter school?	No
Do you have approved Schoolwide programs in your LEA?	Yes
Do you have approved Targeted Assistance programs in your LEA?	No
Do you have Title I Focus or Priority Schools?	Yes
Does your LEA receive \$500,000 or more in Title I Part A funds?	Yes
Are there any private schools within the boundaries of your school district?	Yes
Do you provide Title I services to private school children?	Yes
Does the LEA have elementary or secondary schools that did not meet Annual Measureable Objectives (AMOs) projected by the UTAH COMPREHENSIVE ACCOUNTABILITY SYSTEM for two years in a row and are not Focus or Priority Schools?	Yes

LEA Title I Monitoring System Evaluation Survey

LEA: _____

Title I Director: _____

Directions: Please consult with those in your LEA who participated in the USOE Title I monitoring review(s), (one set of ratings per district please) and return your completed evaluation to:

Utah State Office of Education - Title I Office
 ATTN: On-site Review Evaluation
 250 East 500 South
 P.O. Box 144200
 Salt Lake City, Utah
 84114-4200

Or fax to our office using fax number: 801-538-7804

1. Rate the degree to which the following Title I monitoring system goals were attained in your district by circling the most appropriate number for each guiding principle.

Guiding Principles	Excellent	Good	Fair	Poor	Not Applicable
Provide credible and knowledgeable support.	4	3	2	1	N/A
Use a clear and fair process that ensures compliance.	4	3	2	1	N/A
Build capacity for sustainable student achievement.	4	3	2	1	N/A
Employ a rigorous and comprehensive system.	4	3	2	1	N/A
Be practical, relevant, and efficient.	4	3	2	1	N/A
Create and sustain supportive partnerships with stakeholders.	4	3	2	1	N/A

- 2a. Please rate the various aspects of this year's Title I monitoring review(s) by entering the most appropriate number for each aspect: 4 = Excellent; 3 = Good; 2 = Fair; 1 = Poor; N/A = Not Applicable.

Preparation and Management	On-site Review (if applicable)	Effects of Monitoring Process
___ USOE training	___ Team Leader Contact	___ Effect on LEA Title I Staff
___ USOE materials	___ Objectivity	___ Effect on LEA Title I Program
___ Desktop self-review	___ Reasonableness	___ Overall Effectiveness
	___ Support and Sensitivity to LEA Situation	

- 2b. If you rated any of the above with a “2” or below, please briefly explain why.
3. In your district, what was the most positive effect of the Title I DMI-TRACKER desktop self-assessment and, if applicable, the on-site compliance review?
4. How might the USOE improve its Title I monitoring process?
5. If your LEA participated in a Title I on-site review this year, how accurate and valid were the findings of the review?
6. If your LEA participated in a Title I on-site review this year, how effective was the technical assistance provided by the onsite review team in preventing and resolving compliance problems?

Finally, if the LEA has evidence that a finding of non-compliance is inaccurate or if the LEA believes that the law has been misinterpreted, please describe the details in a letter to:

Karl Wilson
USOE Title I Director
250 East 500 South
PO Box 144200
Salt Lake City, UT 84114-4200

USOE/ Title I Form I

LEA Compliance Response Procedure

Purpose

An LEA Compliance Response is required whenever the On-site Compliance Monitoring Report has identified one or more items as non-compliant.¹

This Title I Compliance Response Template provides a format for the LEA to submit evidence that non-compliant practices have been corrected, or to submit a proposed Corrective Action Plan for the USOE approval.

Procedures

The LEA must submit an original, signed copy of this **Compliance Response** to the USOE within 30 days of receipt of the On-site Compliance Monitoring Report.

For **non-compliance findings resolved within the initial 30 day period**, the proposal must:

- *Identify* specific items of Title I non-compliance;
- *Identify* the LEA staff responsible, including title;
- *Describe* the specific corrective action that was taken to resolve each non-compliance finding;
- *Show* the completion date of corrective action;
- *Include* documents to verify compliance; and
- *Include* the signature of an authorized agent of the LEA.

For **non-compliance findings that cannot be resolved within the 30 day period**, laws and regulations permit an LEA and USOE to enter into a compliance agreement. Some items may require resolution within the 30 day period, and no compliance agreement is allowed.

For **non-compliance findings that are proposed to be subject to a Corrective Action Plan**, the proposal must:

- *Identify* specific items of Title I non-compliance;
- *Identify* the LEA staff responsible, including title;
- *Describe* the specific corrective action that will be taken for each non-compliance finding;
- *Show* the proposed completion date of corrective action;

¹ A non-compliant finding is a specific local practice that fails to meet minimum legal requirements. The USOE Monitoring Notification of Findings Report will:

- Contain a clearly described statement of the requirement so that the remedy is apparent.
- Reference the specific practice or procedure that fails to meet the federal requirement.
- Specify the student group, grade(s), school(s), etc., necessary to document the extent of the non-compliant practice noted by the review team.
- Will not be obscured by additional statements not required to document the non-compliant practice, or by recommendations.

- *Indicate* what documents will be submitted to verify compliance; and
- *Include* the signature of an authorized agent of the LEA.

Corrective Action Plan requests should be for a *reasonable* time to resolve non-compliance and cannot exceed 180 days from the expiration of the 30 day period. An approved Corrective Action Plan permits the USOE to suspend, for the duration of the Plan, any enforcement actions that it is obligated to perform. The USOE is obligated to resume enforcement actions if an LEA does not resolve the non-compliance before the end of the approved Corrective Action Plan.

For each non-compliance issue handled through a Corrective Action Plan, the proposal must be resubmitted before the ending date of the agreement. The resubmission must be accompanied by documentation that indicates that the issues have been resolved and include the date on which the LEA became compliant.

Submit the original proposal with appropriate LEA representative signature to:

Karl Wilson
USOE Title I Director
250 East 500 South
PO Box 144200
Salt Lake City, UT 84114-4200

For electronic submittals, information can be sent to the USOE:

Karl Wilson karl.wilson@schools.utah.gov or 801-538-7509 or faxed to 801-538-7804.

Kreig Kelley kreig.kelley@schools.utah.gov or 801-538-7975 or faxed to 801-538-7804.

Sandra Grant sandra.grant@schools.utah.gov or 801-538-7844 or faxed to 801-538-7804.

When a LEA submits a proposal, the USOE Title I staff will determine whether the information resolves non-compliance. The USOE will inform the LEA in writing of its decision and if additional information is required.

USOE Title I Compliance Response Template

(Sample may differ slightly from actual version adopted for use)

LEA: _____ **County:** _____

LEA Coordinator: _____

Telephone: () _____ - _____

**Dates of the USOE
Monitoring Review:** _____

Fax: () _____ - _____

**Date of the USOE Notification
of Findings Report:** _____

E-mail: _____ **USOE Team Lead:** _____

This proposed Compliance Response (CR)/Corrective Action Plan (CAP) is required whenever the Title I Compliance Monitoring Report has identified one or more items as non-compliant. It must be completed by the LEA coordinator and signed by the LEA Superintendent or authorized representative.

Assurance: *I certify that all corrective actions specified below have been or will be implemented at all sites in the LEA and that the new procedures will be used in the future.*

Signature of Superintendent or
authorized agent

Date

Telephone number

Printed or typed name and title of authorized agent

ESEA, Title I Compliance Item:	
<i>Name & Title of individual responsible:</i>	
<i>Specific corrective actions that have resolved (CR) or will resolve (CAP) items of non-compliance (include evidence)</i>	
<i>Date of Compliance (Past – CR):</i>	<i>Proposed Date of Compliance (Future – CAP):</i>

ESEA, Title I Compliance Item:	
<i>Name & Title of individual responsible:</i>	
<i>Specific corrective actions that have resolved (CR) or will resolve (CAP) items of non-compliance (include evidence)</i>	
<i>Date of Compliance (Past – CR):</i>	<i>Proposed Date of Compliance (Future – CAP):</i>

ESEA, Title I Compliance Item:	
<i>Name & Title of individual responsible:</i>	
<i>Specific corrective actions that have resolved (CR) or will resolve (CAP) items of non-compliance (include evidence)</i>	
<i>Date of Compliance (Past – CR):</i>	<i>Proposed Date of Compliance (Future – CAP):</i>

USOE/ Title I Form J

USOE Title I Corrective Action Procedure

Purpose

This procedure is to fulfill the Federal requirement that state education agencies (SEA) ensure that when a local education agency (LEA) has been found to not be in compliance through monitoring, audit, or formal complaint procedures, that those issues of noncompliance be corrected within 6 months of the state issuing a notification of noncompliance.

Utah Title I Corrective Action Procedure

Timeline From Date of Identification	Step to be Taken	Issue of noncompliance is identified through monitoring, audit, or formal complaint report.
30 Days	1.	The USOE provides formal written notification to LEA of issue of noncompliance.
30 Days	2A.	If the LEA disagrees with the SEA finding, the LEA will provide a written appeal with documentation demonstrating LEA compliance of the issue in question.
	OR	30 Days
	2B.	If the LEA does not dispute the SEA finding, the LEA will provide to the USOE a compliance response or corrective action plan (CAP) that addresses how the LEA resolved or will resolve the issue of noncompliance.
15 Days	3.	The USOE will provide formal written notification that the proposed LEA Appeal or CAP has been accepted or is in need of revision. If the appeal is accepted, the USOE will send a formal letter to the LEA stating that the LEA is in compliance. If the CAP is approved, move to step 7.
10 Days (if needed)	4A.	The LEA will provide to the USOE any required revisions to the appeal.
	OR	10 Days (if needed)
	4B.	The LEA will provide to the USOE any required revisions to the CAP.
10 Days (if needed)	5.	If the LEA revisions of the appeal or CAP are approvable, the USOE will provide formal notification that the LEA revisions are accepted. If the CAP is approved, move to step 7.
10 Days (if needed)	6A.	If the LEA revisions to the appeal are NOT approvable, the LEA must develop a CAP according to step 2B.
	OR	10 Days (if needed)
	6B.	If the LEA revisions to the CAP are NOT approvable, the LEA must submit revisions within 5 working days to USOE.
6 months	7.	As soon as possible, but in no case later than 6 months from the time that the issue of noncompliance is identified through monitoring, audit, or complaint report. <ul style="list-style-type: none"> o The LEA completes all corrective actions in the SEA-approved CAP. o The LEA provides to the SEA documentation that corrective action is completed and the issue of noncompliance has been resolved.
15 Days	8.	If needed, the USOE will conduct an on-site verification that the LEA has completed all corrective actions and resolved the issue of noncompliance. The USOE will provide a formal letter of determination that the LEA has completed corrective action and met compliance requirements.
	9.	If the LEA is unable to demonstrate compliance after corrective action efforts have been completed, the USOE will consider withholding of Title I funds.

The USOE Title I Hierarchy of Consequences

The USOE and LEAs will make use of a four stage progressive series of consequences that includes greater state and LEA management involvement should issues of non-compliance remain unresolved for an extended period of time. The aim of these procedures is to ensure timely support to the LEA to achieve resolution of non-compliant issues and, at the same time, to ensure that the USOE complies with its obligations for monitoring and oversight of LEA use of Title I resources.

Pre-Stage 1: Response to Findings

LEA submits Compliance Resolution (CR) in 15 days or proposed Corrective Action Plan (CAP) in 30 days after Notification of Findings (based on the annual desktop or onsite review).	The USOE reviews CR or CAP and approves, providing technical assistance as needed. CAP may not exceed 180 days.
--	---

Stage 1: Technical Assistance

LEA fails to submit a response in 30 days, or submits an inadequate response or proposal for Corrective Action.	The USOE staff work with LEA staff on revision of proposal. Offer technical assistance.
---	---

Stage 2: Additional Support

LEA is non-compliant more than 145 days.	The USOE Title I Director contacts LEA Title I Director via telephone and letter to support and encourage resolution. Extends offer of additional technical assistance.
--	--

Stage 3: Increasing Management Engagement

LEA is non-compliant more than 225 days	The USOE Title I Director and the appropriate Associate Superintendent contact the LEA superintendent via letter to inform him/her that the LEA is non-compliant more than 225 days, and that the USOE will notify the local governing board if compliance resolution has not occurred after 365 days.
---	--

Stage 4: Enforcement

LEA is non-compliant more than 365 days.	The USOE Deputy Superintendent sends a letter to the local board president notifying him/her that the LEA has been non-compliant more than 365 days. The Utah State Board of Education initiates sanctions against the LEA.
--	---

In extraordinary cases, the fourth stage—reached when an LEA is non-compliant more than 365 days—may be delayed by the USOE when an LEA has provided substantial evidence of good faith progress on issues of great difficulty and scale.

Any such extensions of Corrective Action Plans must be supported by evidence of actions taken to partially or substantially resolve a compliance issue. A decision to extend a Corrective Action Plan beyond 365 days may be made only by the State Superintendent of Public Instruction, in consultation with the district superintendent and the governing board of the LEA. Any time the Utah State Office of Education is considering sanctions that would impact LEA funding, the LEA has a right to appeal that decision to the State Superintendent of Public Instruction.

Should there be a need for sanctions, they may include:

- Suspension of the LEA’s spending authority;
- Withholding payment of reimbursements claimed; and
- Requiring re-payment of selected Title I funds.

Appendices

Appendix A: USOE Title I, Part A Monitoring Instrument Items

Appendix B: USOE Title I, Part A Monitoring Item Schedules

Appendix C: USOE Title I, Part A Monitoring – On-site Compliance Monitoring Interview Guides

Utah State Office of Education Title I, Part A Monitoring Instruments

These monitoring instruments are information-gathering tools that contain statutory and evidentiary guidance. It will be used by LEA Title I directors to conduct annual desktop self-reviews.

The USOE-led monitoring teams will also use a similar instrument as they visit LEA sites.

Column 1 – Item: Compliance item number (53 total) and Indication of Annual (A) Instrument or Cycle by year designation (1-4)

Column 2 – Topic: This column organizes the 53 compliance items into 9 topic categories to streamline the monitoring process:

- Items 1-2: LEA Plan & UCAS School Report Card
- Items 3-5: Eligibility & Use of Funds
- Items 6-17: Schoolwide Programs
- Items 18-24: Targeted Assistance Schools
- Items 25-30: Focus or Priority Schools
- Items 31-36: Parent Involvement
- Items 40-42: Private Schools
- Items 43-50: Fiscal Requirements
- Items S1-S3: Data Reports (statistical and CSPR (Consolidated State Performance Report) data)

Column 3 – Reference(s): Specific reference from the original *Elementary and Secondary Education Act of 1965* (ESEA) reauthorized as No Child Left Behind (NCLB), the U.S. Legal Code (USC), the Code of Federal Regulations (CFR), or the Office of Management and Budget (OMB) that requires the monitoring of the compliance item

Column 4 – Legal Requirement: Specific requirement that must be monitored, as mandated by the legal reference from Column 3

Column 5 – Compliance Indicator(s): Question(s) the reviewer will use to determine whether the LEA is in compliance with the legal requirement from Column 4

Column 6 – Potential Lines of Evidence: Documentation and/or interviews the reviewer might utilize to answer the compliance indicator question(s) from Column 5

LEA Name: _____

Monitoring Date: _____

Contact Person: _____

Report Date: _____

NOTE: Any item listed here is subject to verification. LEAs may need to gather information through such means as review of documents, interviews, or classroom observations to verify compliance. LEAs are expected to keep items used as evidence of compliance on file.

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
1	<p>LEA UCAS REPORT CARD</p> <p>LEA UCAS *Report card monitoring item is waived due to the NCLB waiver granted to the SEA by the U.S. Dept. of Education. This item is not removed from this handbook due to the possible future re-authorization of NCLB.</p>	<p>NCLB§1111(h)(2) 20 USC§ 6311(h)(2)</p>	<p>The LEA prepares and disseminates an annual LEA UCAS report card.</p>	<p>A. If the LEA provides a UCAS report card other than that provided by USOE, is the content of the UCAS report card in accordance with the requirements of Section 6311(h)(1)(C) and 6311(h)(2)(B)?</p> <p>B. Is the document in a format and language that is understandable to parents?</p> <p>C. Was the annual LEA UCAS report card disseminated widely through available public means?</p>	<p>– LEA UCAS report card</p> <p>– News article with UCAS report card data</p> <p>– School newsletter</p> <p>– PTA meeting minutes, agendas</p> <p>– Sample UCAS report cards in other languages</p> <p>– Examples of dissemination strategies used</p>
2 (A)	<p>LEA PLAN</p>	<p>NCLB§1112(d)(1) 20 USC §6312(d)(1)</p>	<p>The UCA Plan was developed in consultation with teachers, principals, administrators (including administrators of programs described in other parts of this title), and other appropriate school personnel, and with parents of children in schools served under this part.</p>	<p>Does the evidence indicate that the required consultation has occurred?</p>	<p>– Meeting notices, agendas, minutes, rosters of attendees</p> <p>– UCA submission is the act of accepting the assurances related to the funding</p> <p>– Interviews with LEA, teachers, and parents</p>

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
3 (A)	ELIGIBILITY & USE OF FUNDS	NCLB§1113(a)(1) 20 USC §6313(a)(1)	The LEA uses Title I funds only in eligible school attendance areas/schools.	Are Title I funds used only in Title I eligible schools?	– UCA Building Eligibility – LEA and school budgets and expenditure reports
4 (A)	ELIGIBILITY & USE OF FUNDS	NCLB§1113(a)(5) 20 USC §6313(a)(5)	The LEA uses the same measure of poverty with respect to all school attendance areas to: a) identify eligible school attendance areas; b) determine the ranking for each area; and c) determine allocations.	A. Does low-income and enrollment data support the project application? B. Are schools ranked appropriately? C. Are all participating schools being funded based on low-income data from the same source?	– UCA Title I eligibility worksheet – Source of low income data – Source of enrollment data
5 (A)	ELIGIBILITY & USE OF FUNDS	NCLB§1113(c)(3) 20 USC §6313(c)(3)	The LEA sets aside such funds as necessary to provide services comparable to those provided to children in schools funded under this part to serve, where appropriate, eligible homeless children who do not attend participating schools and children who live in institutions for neglected or delinquent children.	If applicable, is there evidence to show that funds are being set aside for services to these special populations?	– UCA Title I eligibility worksheet

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
6 (4)	SCHOOLWIDE PROGRAMS	NCLB§1114(b)(1)(A) 20 USC §6313(b)(1)(A) 34 CFR §200.26(a)	Schoolwide project schools have conducted a comprehensive needs assessment of the entire school, based on information about the performance of children in relation to the state content and student performance standards (Utah State Core Curriculum).	<p>A. Do schoolwide plans show evidence of a needs assessment being conducted that includes all students as well as all required subgroups -- economically disadvantaged students, students from major racial and ethnic groups, students with disabilities, students with limited English proficiency, and migratory students?</p> <p>B. Does the process involve a variety of data gathered from multiple sources?</p> <p>C. Does the needs assessment examine teacher, school, and community strengths and needs?</p> <p>D. Are the results and findings of the needs assessment described in a document?</p>	<p>– Schoolwide plans</p> <p>– Documents that were utilized in conducting needs assessment (e.g., test data, surveys, discipline reports, attendance data, etc)</p> <p>- Documents that describe the results and findings of the needs assessment for all subgroups</p>

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7 (1)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(1)(B) 20 USC §6314(b)(1)(B) 34 CFR §200.28(a)	For schools approved by the LEA to operate a schoolwide program, required schoolwide reform strategies are implemented.	<p>A. Are opportunities provided for all children to improve on their individual Student Growth Percentile (SGP) score.</p> <p>B. Does the plan address the needs of all children, but particularly the needs of low achieving students and those at risk for not showing improvement in their SGP scores?</p> <p>C. Does the plan address how the school will determine if identified needs have been met?</p> <p>D. Does the school use effective methods and instructional practices that are based on scientifically-based research?</p>	<ul style="list-style-type: none"> – Schoolwide plans – Documented research base underlying instructional program – Progress reports to the LEA from the School Support Teams for schools identified as Focus or Priority Schools – Classroom observations – Interviews with LEA, principals, and teachers
8 (1)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(1)(C) NCLB §9101(23) 20 USC §6314(b)(1)(C) 20 USC §6319(c-e) 20 USC §7801(23) 34 CFR §200.28(b)	In schoolwide program schools, instruction is provided by a highly-qualified staff.	Are the qualifications of staff (teachers and paraprofessionals) in keeping with the requirements of 20 USC §7801(23) and §6319(c-e)?	<ul style="list-style-type: none"> – CACTUS highly-qualified staff documentation – UCA Title I assurances – Certification data for appropriate staff – Principal’s written attestation statement submitted to LEA

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
9 (2)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(1)(D) NCLB §1119 NCLB §9101(34) 20 USC §6314(b)(1)(D) 20 USC §7801(34) 34 CFR §200.28(b)(2)	In schoolwide program schools, high-quality and ongoing professional development is provided for teachers, principals and paraprofessionals and, if appropriate, pupil services personnel, parents and other staff to enable all children to meet the state's student academic achievement standards.	A. Does the professional development that is provided to teachers, principals, and paraprofessionals meet the standards of high-quality and ongoing professional development as defined in 20 USC §7801(34)? B. Is the ongoing professional development that is provided to teachers, principals, and paraprofessionals designed to enable all students in the school to meet the state's academic standards? C. Are professional development activities aligned with state academic standards (Utah State Core Curriculum)?	– Records of professional development activities (including attendance records) – Professional development section of UCA and schoolwide plan – Interviews with LEA, principals, teachers, parents, and other staff, as appropriate
10 (1)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(1)(E) 20 USC §6314(b)(1)(E) 34 CFR §200.28(b)(1)	In schoolwide program schools, strategies are implemented to attract highly qualified teachers to high need schools.	Do LEA/school recruitment strategies show the likelihood of attracting highly-qualified staff to high needs schools in the district?	– Documents describing employment incentives/policies in schoolwide program schools – Interview with LEA human resources director

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
11 (2)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(1)(G) 20 USC §6314(b)(1)(G)	Schoolwide program schools implement plans for assisting children in the transition from early childhood programs to local elementary school programs.	A. Is there evidence of collaboration between schools and preschool programs? B. Does the schoolwide plan include strategies for helping children make the transition from the preschool setting to the elementary setting?	– Documents that show evidence of collaboration between school and preschool programs (e.g., Head Start, etc.) – Schoolwide plan (for related activities) – Records of communication with area preschool programs – Interviews with LEA, principals, early childhood program directors, and parents of participating children
12 (4)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(1)(H) 20 USC §6314(b)(1)(H) 34 CFR §200.28(b)(4)	In schoolwide program schools, teachers are included in decisions regarding the use of assessments.	Is there evidence to show that teachers are included in the decisions regarding the use of assessments to improve the achievement of individual students and the overall instructional program?	– Meeting notices, agendas, minutes – Surveys/questionnaires – Schoolwide plans – Assessment instruments – Interviews with principals and teachers
13 (4)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(1)(I) 20 USC §6314(b)(1)(I) 34 CFR §200.28(d)	In schoolwide program schools, procedures are in place to ensure that students who experience difficulty mastering any of the proficient or advanced levels of academic standards are provided effective, timely additional assistance.	A. Is there a process that is currently being implemented to identify students experiencing difficulty meeting standards? B. Is there evidence of timely and effective additional assistance provided for students experiencing difficulty?	– Schoolwide plans – Minutes from student assistance team meetings – Unit plans, lesson plans, grade level plans – Instructional intervention plan – Interviews with principals, teachers, parents

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
14 (4)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(1)(J) 20 USC §6314(b)(1)(J) 34 CFR §200.27(b)(3)	In schoolwide program schools, there is coordination and integration of federal, state and local services and programs.	A. Is there a list of state and local programs and other federal programs that are included in schoolwide programs? B. Is there evidence to show that these programs are coordinated?	– Schoolwide plans – Budgets – Interviews with principals and teachers
15 (4)	SCHOOLWIDE PROGRAMS	NCLB §1114(b) 20 USC §6314(b) 34 CFR §200.28(a)	In schoolwide program schools, schools have developed comprehensive plans for reforming the total instruction program.	Do schoolwide plans incorporate the required components from 20 USC §6314(b)?	– Schoolwide plans
16 (4)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(2)(B)(ii) 20 USC §6314(b)(2)(B)(ii) 34 CFR §200.27(b)(2)	In schoolwide program schools, schoolwide plans are developed with the involvement of parents and other members of the community to be served and individuals who will carry out such plans.	Is there evidence to indicate that schoolwide plans were developed with the involvement of the individuals consistent with program requirements?	– Meeting notices, agendas, minutes, and participation rosters – Results of surveys and/or questionnaires – Interviews with principals, teachers, parents, and members of the community to be served
17 (4)	SCHOOLWIDE PROGRAMS	NCLB §1114(b)(2)(B)(iv) 20 USC §6314(b)(2)(B)(iv) 34 CFR §200.27(c)(2)	In schoolwide program schools, school plans are in an understandable and uniform format and are available to the LEA, parents, and the public.	A. Is there evidence to show that school plans are being disseminated in an appropriate manner? B. Is information from the schoolwide plan available in an understandable and uniform format?	– Schoolwide plans – School newsletters – School letters to parents – Interviews with principals and parents

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
18 (4)	TARGETED ASSISTANCE SCHOOLS	NCLB §1115(b)(1)(B) 20 USC §6315(b)(1)(B)	Targeted assistance programs focus on children who are below their class' Median SGP (MGP), or most at-risk of not meeting realistic goals set for future growth, using multiple, educationally-related, and objective criteria.	A. Is there documented evidence to show that targeted assistance schools collaborated with the LEA in determining student selection criteria? B. Have the children with the greatest academic need been identified for and served by Title I services?	<ul style="list-style-type: none"> – Selection criteria and process – Eligibility lists – Participant lists – Assessment documents – Records documenting meetings with participating schools to discuss selection criteria – Interviews with LEA, principals, and parents
19 (4)	TARGETED ASSISTANCE SCHOOLS	NCLB §1115(b)(1)(B) 20 USC §6315(b)(1)(B)	Children from preschool through Grade 2 are selected solely on the basis of such criteria as teacher judgment, interviews with parents and developmentally appropriate measures.	Are children in grades PK-2 selected solely on the basis of such criteria as teacher judgment, interviews with parents and developmentally appropriate measures?	<ul style="list-style-type: none"> – Selection documents – Interviews with teachers and parents of PK-2 children

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
20 (2)	TARGETED ASSISTANCE SCHOOLS	NCLB §1115(c)(1)(C) 20 USC §6315(c)(1)(C)	Targeted assistance programs use effective methods and instructional strategies that are based on scientifically-based research that strengthen the core academic program of the school and improve the achievement of children, and that: a) Give primary consideration to extended time; b) Help provide an accelerated, high-quality curriculum; and c) Minimize removing children from the regular classroom during regular school hours.	A. Does the targeted assistance program help participating children meet the challenging student academic achievement standards expected for all students? B. Are instructional strategies used that: i) Give primary consideration to extended learning time? ii) Help provide an accelerated, high-quality curriculum? iii) Minimize removing children from the regular classroom during regular school hours? C. How did the school determine that instructional programs are based on scientifically-based research?	– Documentation related to student selection and performance – Targeted assistance program narratives – Curriculum and instructional materials used as part of targeted assistance program – Research literature supporting selected instructional program – Program and classroom observations – Interviews with principals, teachers, and parents of participating children
21 (2)	TARGETED ASSISTANCE SCHOOLS	NCLB §1115(c)(1)(D) 20 USC §6315(c)(1)(D)	Targeted assistance program is coordinated with and supports the regular education program.	Is there evidence of coordination between Title I and the regular instructional program?	– Title I teacher schedules – Lesson plans – Classroom observations – Interviews with principals and teachers
22 (1)	TARGETED ASSISTANCE SCHOOLS	NCLB §1115(c)(1)(E) NCLB §1119(c) NCLB §9101(23) 20 USC §6315(c)(1)(E) 20 USC §6319(c-e) 20 USC §7801(23)	In targeted assistance schools, instruction is provided by highly-qualified staff.	Are the qualifications of Title I staff (teachers and paraprofessionals) in accordance with the requirements of 20 USC §7801(23) and §6319(c-e)?	– CACTUS – Principal’s written attestation statement submitted to LEA

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
23 (2)	TARGETED ASSISTANCE SCHOOLS	NCLB §1115(c)(1)(F) 20 USC §6315(c)(1)(F)	In targeted assistance schools, opportunities are provided for professional development for personnel and, if appropriate, parents, who work with participating children either in the Title I program or the regular education program.	A. Are Title I funds used to provide professional development opportunities for Title I and regular education personnel and, if appropriate, parents? B. Does the professional development that is provided enable students to meet the state's challenging student academic achievement standards?	– Documentation demonstrating how professional development meets student needs – Targeted assistance program narratives – District and school professional development plans/activities – Interviews with LEA, principals, teachers, paraprofessionals, and parents of participating students (as appropriate)
24 (4)	TARGETED ASSISTANCE SCHOOLS	NCLB §1115(c)(2)(B) 20 USC §6315(c)(2)(B)	In targeted assistance schools, the progress of participating children is reviewed on an ongoing basis to make program revisions, and, if necessary, provide additional assistance to children in meeting the challenging academic achievement standards.	A. Has the school looked at specific student data to determine program effectiveness? B. Is there evidence to show that program changes (such as an extended school day and year and additional training) are made as a result of a review of this student data?	– Individual student data – Program amendments in targeted assistance plan – Interviews with principals, teachers, school counselors, and parents of participating students
25 (1)	FOCUS OR PRIORITY SCHOOLS	NCLB §1116(a)(1)(C) 20 USC §6316(a)(1)(C)	Results of the annual review of student data from all participating schools are publicized and disseminated to parents, teachers, principals, schools, and the community.	Do dissemination procedures ensure that appropriate parties are informed regarding the annual review of all participating schools?	– School UCAS report cards – Dissemination procedure(s) – Documents used to disseminate assessment data – Interviews with LEA, principals, teachers, parents

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
26 (A)	FOCUS OR PRIORITY SCHOOLS	NCLB §1116(b)(1)(A)20 USC §6316(b)(1)(A)34 CFR §200.32(a) As detailed by the approval of Utah's ESEA Waiver Request granted in 2012	The SEA identifies Focus or Priority Schools.	Has the SEA identified Focus or Priority schools for improvement as required?	<ul style="list-style-type: none"> – State assessment data – List of schools identified as Focus or Priority by the SEA every two years as outlined by the Utah's ESEA Flexibility Waiver
27 (A)	FOCUS OR PRIORITY SCHOOLS	20 USC §6316(b)(1)(E) & (b)(9) 34 CFR §200.32(c)(2) & 200.44	Does the LEA have elementary or secondary schools that did not meet growth projected by the UTAH COMPREHENSIVE ACCOUNTABILTY SYSTEM two years in a row and are not Focus or Priority Schools?	<p>A. Does the LEA set-aside sufficient Title I funds to support identified schools?</p> <p>B. Did parents and students receive adequate notice?</p>	<ul style="list-style-type: none"> – Correspondence to parents – Fiscal support documentation

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
28 (A)	FOCUS OR PRIORITY SCHOOLS	NCLB §1116(b)(3)(A) 20 USC §6316(b)(3)(A) 34 CFR §200.52(a)	Schools identified as Focus or Priority Schools, in consultation with parents, the LEA, the school support team, develop and/or revise their school plans in ways that have the greatest likelihood of improving the performance of participating children, and submit such plans to the LEA for approval.	<p>A. Is there evidence of consultation with parents, school staff, the LEA, and the school support team in the development of the Title I Focus or Priority Schools plans?</p> <p>B. Do the Title I Focus or Priority Schools plans include all of the components required under 20 USC §6316(b)(3)(A)?</p> <p>C. Do Title I Focus or Priority Schools plans show the likelihood of improving student performance using scientifically-based research strategies?</p> <p>D. Is there evidence to show that Title I Focus or Priority Schools plans are submitted to the LEA for approval?</p>	<ul style="list-style-type: none"> – Title I Focus or Priority School plans – Agendas and minutes from parent meetings – Interviews with LEA, principals, and parents
29 (A)	FOCUS OR PRIORITY SCHOOLS	NCLB §1116(b)(4) 20 USC §6316(b)(4) 34 CFR §200.40(a) & (c)	For each school identified as a Focus or Priority School, the LEA ensures the provision of technical assistance as the school develops and implements the Title I Focus or Priority Schools plan throughout the plan's duration.	For each school identified as a Focus or Priority School, is there evidence that the LEA ensured the provision of technical assistance in accordance with, and for the duration of, the Title I Focus or Priority Schools plan, according to the requirements under 20 USC §6316(b)(4)(B-C)?	<ul style="list-style-type: none"> – Documentation of technical assistance provided to the school – Agendas or minutes from school/LEA meetings – Records of staff development activities – Interviews with LEA and principals

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
30 (A)	FOCUS OR PRIORITY SCHOOLS	NCLB §1116(b)(6) 20 USC §6316(b)(6) 34 CFR §200.51	For schools identified as Focus or Priority Schools, the LEA provides parents with notice of such identification.	Were the parents promptly provided, in an understandable format, the following information: A) An explanation of what the identification means and how the school compares in terms of academic achievement to other schools served? B) The reasons for the identification? C) An explanation of what the school(s) identified as Focus or Priority Schools is doing to address the problem of achievement? D) An explanation of what the LEA is doing to help the school address the achievement problem? E) An explanation of how the parents can become involved in addressing the academic issues that caused the school(s) to be identified as Focus or Priority Schools?	– Communications with parents (written or other formats) regarding the identification of schools as Focus or Priority schools.

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
31 (3)	PARENT INVOLVEMENT	NCLB §1118(a)(3) 20 USC §6318(a)(3)	The LEA has developed, jointly with parents of participating children, a parent involvement policy that reflects the content described in 20 USC §6318(a)(2). The policy has been distributed to parents and included in the UCA, and includes an evaluation of the effectiveness of the parent involvement policy and activities.	<p>A. Does the evidence show that parents were involved in the development of and agreed to the LEA parent involvement policy?</p> <p>B. Does the LEA's parent involvement policy include all of the content required under 20 USC §6318(a) (2)?</p> <p>C. Did parents receive a written version of the LEA's parent involvement policy? Was the policy delivered in an understandable and uniform format, and to the extent practicable, provided in a language the parents could understand?</p> <p>D. Have parents been involved in an annual evaluation of the LEA's parent involvement policy and activities? If necessary, are revisions in the parent involvement policy made as a result of the annual evaluation?</p>	<ul style="list-style-type: none"> - Notice of meetings, meeting agendas, meeting minutes - Records of parent comments - Parent involvement policy - Dissemination procedures - Documentation of the evaluation of the parent involvement policy and activities, along with any resulting revisions - Interviews with LEA and parents

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
32 (A)	PARENT INVOLVEMENT	NCLB §1118(a)(3) 20 USC §6318(a)(3)	For LEAs that receive \$500,000 or more in Title IA funds, the LEA reserves not less than 1% of its Title I allocation for parental involvement activities, of which 95% of such funds is distributed to participating schools.	A. Does the LEA receive \$500,000 or more in Title I Part A funds? B. If yes, has the LEA reserved at least 1% of its Title I allocation for parental involvement activities? C. Is there evidence to show that 95% of the 1% reserved was distributed to participating schools?	<ul style="list-style-type: none"> – Title I budget (LEA & school) – Distribution procedures of funds to participating schools – Documentation of how the funding was used – Interview with LEA and principals
33 (3)	PARENT INVOLVEMENT	NCLB §1118(b)(1) 20 USC §6318(b)(1)	Each participating school has developed jointly with, and distributed to, parents of participating children a written parent involvement policy, agreed upon by such parents.	A. Does the evidence show that parents were involved in the development of and agreed to the parent policy? B. Was the parent involvement policy distributed to parents of participating children in an understandable and uniform format, and to the extent practicable, in a language the parents could understand?	<ul style="list-style-type: none"> – Documentation of how parents were invited to participate in the development of the parent involvement policy – Meeting dates, agendas, list of attendees – Dissemination procedures – Interviews with LEA, principals, and parents

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
34 (A)	PARENT INVOLVEMENT	NCLB §1118(c) 20 USC §6318(c)	Each participating school provides for the involvement of parents as specified in subsection NCLB 1118(c) and 20 USC §6318(c).	Do the policies describe how the school(s) will: a) Convene an annual public meeting? b) Offer a flexible number of meetings? c) Involve parents in an organized, ongoing and timely way? d) Provide parents with timely information on topics such as curriculum, assessments etc., and opportunities for regular meetings (if requested)? e) Provide for the submittal of parent comments on school plans (schoolwide project schools, as necessary)?	<ul style="list-style-type: none"> – School-level parent involvement policies – Evidence of public meetings (dates of meeting, invitations to parents, agendas, minutes, attendance lists, etc.) – Interviews with LEA, principals, and parents
35 (3)	PARENT INVOLVEMENT	NCLB §1118(d) 20 USC §6318(d)	Participating schools have jointly developed with parents of participating children a school-parent compact.	Is there evidence to indicate that school-parent compacts have been developed jointly with parents?	<ul style="list-style-type: none"> – School-parent compacts – Evidence of joint meetings (dates of meetings, invitations to parents, lists of participants, agendas, minutes, etc.) – Interviews with principals and parents

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
36 (3)	PARENT INVOLVEMENT	NCLB §1118(d) 20 USC §6318(d)	School-parent compacts outline how parents, school staff and students will share the responsibility and define the means for improving student achievement.	A. Is the content of the school-parent compacts consistent with the requirements of 20 USC §6318(d)? B. Are school-parent compacts available to parents of participating children?	– School-parent compact – Interviews with principals, teachers, and parents
37 (1)	QUALIFICATIONS FOR TEACHERS AND PARAPROFESSIONALS	NCLB §1119(c–e),(g) 20 USC §6319(c–e),(g) 34 CFR §200.58	All paraprofessionals working in a program supported by Title I funds are highly qualified as defined in 20 USC §6319(c–e), and provide services as allowed under 20 USC §6319(g).	A. Is there evidence to show that the paraprofessionals supported by Title I funds meet the highly qualified requirements as specified under 20 USC §6319(c–e)? B. Are paraprofessional assignments allowable according to 20 USC §6319(g)? C. Are paraprofessionals under the direct supervision of a highly qualified teacher?	– Personnel records of appropriate paraprofessionals – UCA Title I assurances – CACTUS – Individual professional development plans – FTE reports – Interviews with principals, teachers, and paraprofessionals

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
38 (1)	QUALIFICATIONS FOR TEACHERS AND PARAPROFESSIONALS	NCLB §1115(d)(2) NCLB §1119(g)(3)(b) 20 USC §6315(d)(2) 20 USC §6319(g)(3)(b)	If Title I staff assume limited duties that are assigned to similar personnel who are not working in Title I, including duties beyond classroom instruction or that do not benefit participating children, the amount of time spent on such duties must not exceed in the same proportion of total work time as prevails with respect to similar personnel at the same school.	Are the assignments of non-instructional duties to Title I-funded staff no more than such assignments to non-Title I staff?	<ul style="list-style-type: none"> - Schedules - Interviews with principals, teachers, and paraprofessionals
39 (3)	QUALIFICATIONS FOR TEACHERS AND PARAPROFESSIONALS	NCLB §1111(h)(6) 20 USC §6311(h)(6) 34 CFR §200.61	At the beginning of each school year, the LEA notifies parents of each student attending a Title I participating school that the parents may request, and the agency will provide, upon request, information regarding the professional qualifications of the student's classroom teachers. Additionally, a school that receives funds under this part shall provide to each individual parent timely notice that the parent's child has been assigned, or has been taught for four or more consecutive weeks by, a teacher who is not highly qualified.	<p>A. Does evidence show that parents have been informed about their right to know the professional qualifications of their child's classroom teacher, in accordance with 20 USC §6311(h)(6)?</p> <p>B. Does evidence show that parents have been provided timely notice any time that their child has been assigned, or has been taught for four or more consecutive weeks by, a teacher who is not highly qualified, in accordance with 20 USC §6311(h)(6)(b)(ii)?</p>	<ul style="list-style-type: none"> - Documentation showing that parents were notified of their right to know the professional qualifications of their child's classroom teacher(s) <ul style="list-style-type: none"> - school websites - copies of newsletters - news articles - parent letters, etc. - Documentation showing that parents were notified that their child was assigned to, or taught four or more consecutive weeks by, a teacher who is not highly qualified (parent letters) - Interviews with parents and principals

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
40 (A)	PRIVATE SCHOOLS	NCLB §1120(b) 20 USC §6320(b) 34 CFR §200.63(b)	The LEA consults with appropriate nonpublic school officials, in a timely and meaningful manner, regarding the provision of Title I educational services to eligible children, and in the design and development of its Title I program.	Does evidence show that the required consultation has occurred, as required in 34 CFR §200.63(b)?	<ul style="list-style-type: none"> – Form affirming required consultation with private school officials – Notice of meetings, agendas, minutes – Interviews with private school officials
41 (A)	PRIVATE SCHOOLS	NCLB §1120(a)(3) 20 USC §6320(a)(3) 34 CFR §200.64	Educational services and benefits for eligible nonpublic school children are equitable in comparison to services and other benefits for participating public school children.	Does evidence show that services offered to private school children are equitable in comparison to the Title I services provided to participating public school children?	<ul style="list-style-type: none"> – Program descriptions – Interviews with LEA and private school officials
42 (A)	PRIVATE SCHOOLS	NCLB §1120(a)(4) 20 USC §6320(a)(4) 34 CFR §200.64 34 CFR §200.77(f)	Funds reserved for expenditures for services to private school children are equal to the proportion of funds allocated to participating school attendance areas based on the number of children from low-income families who attend nonpublic schools.	<p>A. Are funds reserved for services to private school children based on the same criteria used to allocate Title I funds to participating public schools?</p> <p>B. Are expenditures for services to private school children in participating private schools equitable to those spent in participating public schools?</p>	<ul style="list-style-type: none"> – Private school/LEA set asides – Program description – Personnel report regarding LEA staff assigned to provide services at private schools – Contracted services documents (if applicable) – Budget and expenditure documents
43 (A)	FISCAL REQUIREMENTS	NCLB §1120A(a) 20 USC §6321(a)	The LEA maintains its fiscal effort when compared to the previous fiscal year.	Does evidence indicate that the LEA has maintained its fiscal effort when compared to expenditures in previous years?	<ul style="list-style-type: none"> – Maintenance of effort report to the USOE Data & Statistics department – UCA Title I assurances

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
44 (A)	FISCAL REQUIREMENTS	NCLB §1120A(b) 20 USC §6321(b) 34 CFR §200.79	The LEA uses Title I funds to supplement and not supplant state and local funding.	Does evidence indicate that Title I funds are being used to supplement, not supplant, the local school program?	<ul style="list-style-type: none"> – School level budgets – School plans/project descriptions – Records of state- and locally-allotted positions – Title I comparability report – Interviews with LEA and principals – UCA Title I assurances
45 (A)	FISCAL REQUIREMENTS	NCLB §1120A(c) 20 USC §6321(c)	The LEA provides services to Title I schools that, taken as a whole, are at least comparable to services in schools that are not receiving Title I funds.	Does evidence indicate that the LEA provides services to Title I schools that, taken as a whole, are at least comparable to services in schools that are not receiving Title I funds?	<ul style="list-style-type: none"> – Title I comparability report – UCA Title I assurances
46 (A)	FISCAL REQUIREMENTS	OMB Cir. A-87, Att. B, Sec. 8(h)(4) & (5)	Charges for wages and salaries of employees who work on multiple activities or cost objectives are supported by time and effort documentation.	<p>A. Do documents show an after-the-fact distribution of the actual activity of each employee?</p> <p>B. Do documents account for the total activity for which each employee was compensated?</p> <p>C. Did the employee sign his/her time and effort documentation?</p>	<ul style="list-style-type: none"> – Time and effort documents – Project application – Title I budget – Teacher schedules (targeted assistance schools) – Staff calendars and work products

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
47 (A)	FISCAL REQUIREMENTS	OMB Cir. A-87, Att. B, Sec. 8(h)(3)	Salaries of employees who work on a single Federal award or cost objective are supported by periodic certifications that the employees work solely on that program for the period covered by the certification.	A. Are certifications of employee time and effort prepared and signed at least semi-annually by the employee or a supervisor with first hand knowledge of the work? B. Do these certifications demonstrate that the employee works exclusively for the program?	– Certification documents – Budget printouts
48 (A)	FISCAL REQUIREMENTS	34 CFR §80.32(d)	The LEA maintains an inventory of equipment purchased with Title I funds that meets the requirements of 34 CFR §80.32(d).	Does the LEA maintain an inventory of Title I equipment in accordance with 34 CFR Part 80.32(d)?	– Inventories – Security and maintenance procedures
49 (A)	FISCAL REQUIREMENTS	34 CFR Part 80.26(b)(3) OMB Cir. A-133, Sec. 315	The LEA resolves any issues identified in a single audit related to Title I within six months of receiving the audit report.	A. Does evidence indicate that the LEA took corrective action and resolved any issues within six months of receiving the audit findings? B. Did the follow up/corrective action meet the requirements of Section 315 of OMB Circular A-133?	– Single audit findings – Single audit corrective action plan – Documented completion of single audit corrective actions – Interview with LEA
50 (A)	FISCAL REQUIREMENTS	2 CFR Part 225, Appendix A, Part C	All expenditures incurred under Title I, including instructional supplies and materials, must be reasonable and allowable under the guidelines set forth by 2 CFR Part 225, Appendix A, Section C.	Does evidence indicate that the expenditure was reasonable and allowable under the guidelines set forth in 2 CFR Part 225, Appendix A, Section C?	– Documented procurement procedures, such as frequency of orders with vendors – Budget expenditure and carryover data from past 3 years

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
S1 (A)	TITLE I DATA REPORTS	<p>For more information on qualified paraprofessionals, please refer to the Title I paraprofessionals Guidance, available at: http://www.ed.gov/policy/elsec/guid/para_guidance.doc</p> <p>For paraprofessionals only, provide the percentage of paraprofessionals who were qualified in accordance with NCLB Section 1119(c)&(d)</p>	<p>Title I Schools must provide the number of Full-Time Equivalent (FTE) Paraprofessional staff funded by a Title I, Part A Schoolwide Sites within the LEA FOR STAFF WHO WORK WITH BOTH TA AND SW PROGRAMS, REPORT ONLY THE FTE ATTRIBUTABLE TO THEIR TA RESPONSIBILITIES.</p>	<p>A. Do documents show the LEA defines the work distribution of the actual activity of each paraprofessional? i.e., (1) Providing one-on-one tutoring for eligible students, if the tutoring is scheduled at a time when a student would not otherwise receive instruction from a teacher; (2) Providing assistance with classroom management, such as organizing instructional and other materials; (3) Providing assistance in a computer laboratory; (4) Conduct parental involvement activities; (5) Providing support in a library or media center; (6) Acting as a translator; (7) Providing instructional services to students.</p> <p>B. Do documents account for the total activity for which each paraprofessional was providing parental involvement or computer assistance?</p> <p>C. Is the employee a Qualified Paraprofessional?</p>	<p>– Documentation attached to DMI item S1 that identifies how many paraprofessionals are employed by the LEA in Title I Schoolwide schools</p> <p>– Time/Effort Documentation</p> <p>– Paraprofessional qualifications entered and verified through CACTUS</p>

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
S2 (A)	TITLE I DATA REPORTS	<p>For more information on qualified paraprofessionals, please refer to the Title I paraprofessionals Guidance, available at: http://www.ed.gov/policy/elsec/guid/para_guidance.doc</p> <p>For paraprofessionals only, provide the percentage of paraprofessionals who were qualified in accordance with NCLB Section 1119(c)&(d)</p>	<p>Title I Schools must provide the number of Full-Time Equivalent (FTE) Paraprofessional staff funded by a Title I, Part A at Targeted Assistance Sites within the LEA FOR STAFF WHO WORK WITH BOTH TA AND SW PROGRAMS, REPORT ONLY THE FTE ATTRIBUTABLE TO THEIR TA RESPONSIBILITIES.</p>	<p>A. Do documents show the LEA defines the work distribution of the actual activity of each paraprofessional? i.e., (1) Providing one-on-one tutoring for eligible students, if the tutoring is scheduled at a time when a student would not otherwise receive instruction from a teacher; (2) Providing assistance with classroom management, such as organizing instructional and other materials; (3) Providing assistance in a computer laboratory; (4) Conduct parental involvement activities; (5) Providing support in a library or media center; (6) Acting as a translator; (7) Providing instructional services to students.</p> <p>B. Do documents account for the total activity for which each paraprofessional was providing parental involvement or computer assistance?</p> <p>C. Is the employee a Qualified Paraprofessional?</p>	<p>– Documentation attached to DMI item S1 that identifies how many paraprofessionals are employed by the LEA in Title I Targeted Assistance schools – Time/Effort Documentation Paraprofessional qualifications entered and verified through CACTUS</p>

Item	Topic	Reference(s)	Legal Requirement	Compliance Indicator(s)	Potential Lines of Evidence
S3 (A)	TITLE I DATA REPORTS	NCLB (1115)(a-b) NCLB (1115)(c)(2)(B)	<p>Students Served in Targeted Assistance schools</p> <p>The school has a defined procedure for identifying eligible children.</p> <p>Identifies children who are failing or most at risk of failing to achieve state standards, including a rank order of eligible children to provide services to those in greatest need.</p> <p>The school has a defined procedure for reviewing, on an ongoing basis, the progress of participating children and revising the targeted assistance program, if necessary, to provide additional assistance to enable such children to meet the state's challenging student academic achievement standards.</p>	<p>Does the LEA where Targeted Assistance Programs are provided within school sites indicate how many students, by grade and ethnicity, which are being served by the Title I funds, and what services are being provided?</p> <p>Are the student identification measures more than one, (economic status and proficiency) but consistent throughout the LEA sites?</p> <p>Is the student identification process completed multiple times a year (at every term or quarter)?</p> <p>This reporting is required by the Federal Government</p>	<p>– Targeted Assistance spreadsheet attached to DMI of students served by grade and service</p> <p>– Targeted Assistance spreadsheet attached to DMI of students served by ethnicity and service</p> <p>– Documentation of proper identification clearly outlined at the school enrollment office</p>

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Utah State Office of Education Title I, Part A Monitoring Item Schedules

Annual Core Items

ITEMS by #	TOPIC	ANNUAL CORE ITEMS BY DESCRIPTION
2	LEA Plan	Plan Developed w/ all stakeholders
3	Eligibility of Funds	Title I Eligible Schools
4	Eligibility of Funds	Same Measure of Poverty
5	Eligibility of Funds	Homeless Set-Aside
26	Focus and Priority	Identify Focus and Priority Schools
27	Focus and Priority	Schools Not identified as Focus or Priority
28	Focus and Priority	School Improvement Plan
29	Focus and Priority	LEA Support of Focus and Priority Schools
30	Focus and Priority	Parent notify of Focus and Priority Schools
32	Parent Involvement	1% Parent Involve Set-Aside
34	Parent Involvement	Title I Annual Meeting Agenda
40	Private Schools	LEA Consults with Private School
41	Private Schools	Equitable Title I Services to Private Schools
42	Private Schools	Title I Funds to Private Schools
43	Fiscal Requirements	Maintenance of Effort
44	Fiscal Requirements	Supplement not Supplant
45	Fiscal Requirements	Title I Comparability Report
46	Fiscal Requirements	Time & Effort (multiple)
47	Fiscal Requirements	Time &I Effort (single)
48	Equipment Inventory	Documented Inventory
49	Fiscal Requirements	Single Audit
50	Fiscal Requirements	LEA Procurement Policy
S1	Title I Data Reports	FTE in Schoolwide schools
S2	Title I Data Reports	FTE in Targeted Assistance schools
S3	Title I Data Reports	CSPR Targeted Assistance Participation data

4-Year Cycle Items

DMI #	TOPIC	LEGAL REQUIREMENT	Year 1 cycle (2013)	Year 2 cycle	Year 3 cycle	Year 4 Cycle
1	LEA	UCAS Report Card	X			
8	Schoolwide	H.Q. Staff	X			
10	Schoolwide	H.Q. Staff	X			
22	Targeted Assistance	H.Q. Staff	X			
25	Title I School	UCAS Report Card	X			
37	Paraprofessional Qualifications	Paraprofessional H.Q.	X			
38	Paraprofessional Duties	Non-instructional duties	X			

DMI #	TOPIC	LEGAL REQUIREMENT	Year 1 cycle	Year 2 cycle (2014)	Year 3 cycle	Year 4 Cycle
7	Schoolwide	SW Reform Strategies		X		
9	Schoolwide	Professional Development		X		
11	Schoolwide	Transition from early childhood		X		
20	Targeted Assistance	Scientific based instruction		X		
21	Targeted Assistance	Coordination with regular education		X		
23	Targeted Assistance	Professional development		X		

DMI #	TOPIC	LEGAL REQUIREMENT	Year 1 cycle	Year 2 cycle	Year 3 cycle (2014)	Year 4 Cycle
30	School Improvement	Parent Notification of Focus or Priority Schools			X	
31	Parent Involvement	LEA” Parent Policy”			X	
33	Parent Involvement	Title I School “Parent Policy”			X	
35	Parent Involvement	“School-Parent Compact” development			X	
36	Parent Involvement	“School-Parent Compact” requirements			X	
39	Parent Involvement	Parent’s Right to Know			X	

DMI #	TOPIC	LEGAL REQUIREMENT	Year 1 cycle	Year 2 cycle	Year 3 cycle	Year 4 Cycle (2015)
6	Schoolwide	SW Plan Needs Assessment				X
12	Schoolwide	Teacher involvement in assessments				X
13	Schoolwide	At-Risk Students academic needs				X
14	Schoolwide	Coordination of funds				X
15	Schoolwide	SW Plan meets requirements				X
16	Schoolwide	SW Plan Development				X
17	Schoolwide	SW Plan availability				X
18	Targeted Assistance	Focus on failing students				X
19	Targeted Assistance	Student selection in grades K-2				X
24	Targeted Assistance	Student progress monitored				X

On-Site Review Items

DMI #	TOPIC	LEGAL REQUIREMENT	Onsite Monitoring	Action Needed
2	LEA	UCA Developed w/ all Stakeholders	X	See list of stakeholders
5	Eligibility of Funds	Homeless Set-Aside	X	Actual expenditures
8	Schoolwide	H.Q. Teachers	X	CACTUS
9	Schoolwide	Professional Development	X	Interview question
10	Schoolwide	Strategies to attract H.Q. Teachers	X	Interview question
16	Schoolwide	SW Plan Development	X	List of participants
17	Schoolwide	SW Plan Availability	X	Interview question
18	Targeted Assistance	Focus on Failing Students	X	Interview question
20	Targeted Assistance	Scientifically based Instruction	X	Interview question
22	Targeted Assistance	H.Q. Staff	X	CACTUS
23	Targeted Assistance	Professional Development	X	Interview question
24	Targeted Assistance	Student Progress Monitored	X	Interview question
25	Title I School	UCAS Report Card	X	View actual UCAS report card
30	Focus and Priority	Parent Notification	X	Actual letter sent to parents
31	Parent Involvement	LEA “Parent Policy”	X	UCA and reviewed
32	Parent Involvement	Use of 1% Set-Aside Funds	X	Actual Expenditures
33	Parent Involvement	Title I School “Parent Policy”	X	See actual Policy
35	Parent Involvement	“School-Parent Compact” development	X	Who was involved?
36	Parent Involvement	“School-Parent Compact” requirements	X	See actual compact
37	H.Q. Qualifications	Paraprofessionals are H.Q.	X	See list of paraprofessionals and their qualifications
38	H.Q. Qualifications	Paraprofessional non- instructional duties	X	Interview question

39	Qualifications for Teachers and Paraprofessionals	Parent's Right to Know	X	Review notification process to parents
40	Private Schools	LEA consults with private schools	X	Private School Report/DMI
41	Private Schools	Equitable services to private schools	X	Interview question
42	Private Schools	Title I Funds to Private Schools	X	Actual expenditures
44	Fiscal	Supplement not Supplant	X	Interview question
46	Fiscal	Time & Effort (multiple)	X	Actual signed documents
47	Fiscal	Time & Effort (Single)	X	Actual signed documents
48	Fiscal	Title I Inventory	X	See actual list and visually view equipment
49	Fiscal	Single Audit	X	USOE REPORT
50	Fiscal	Procurement Policy	X	Interview questions/procedures

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Utah State Office of Education Title I Part A Monitoring – On-site Interview Guides

These Title I, Part A monitoring interview guides are information-gathering tools that also contain statutory and evidentiary guidance. The USOE-led monitoring teams will use these interview guides to gather information at schools and other LEA sites. Each of the four guides focus on a particular set of interviewees: LEA Title I staff, school principals, teachers, and parents. The information gathered from on-site interviews with these individuals will be considered *in concert with other lines of evidence* to make LEA compliance determinations.

Column 1 – Item: Compliance item number

Column 2 – Topic: As in the full instrument, this column organizes the 53 compliance items into 9 topic categories

- Items 1-2: LEA Plan & UCAS Report Card
- Items 3-5: Eligibility & Use of Funds
- Items 6-17: Schoolwide Programs
- Items 18-24: Targeted Assistance Schools
- Items 25-30: Focus or Priority Schools
- Items 31-36: Parent Involvement
- Items 37-39: Qualifications for Teachers and Paraprofessionals
- Items 40-42: Private Schools
- Items 43-50: Fiscal Requirements
- Items S1-S3: Data Reports (FTE staff, CSPR Data)

Column 3 – Legal Requirement: Specific legal requirement to be monitored.

Column 4 – Interview Question(s): Question(s) the reviewer can ask to help determine whether the school/LEA is in compliance with the legal requirement from Column 3. Responses will be considered *in concert with other lines of evidence* to make compliance determinations.

**Utah State Office of Education ESEA Title I Part A Monitoring
Onsite Interview Questions
LEA STAFF**

School(s) _____ Date _____

District _____ Reviewer _____

Item	Topic	Legal Requirement	District Staff Interview Question(s)
2	LEA PLAN	The UCA was developed in consultation with teachers, principals, administrators (including administrators of programs described in other parts of this title), and other appropriate school personnel, and with parents of children in schools served under this part.	Who was involved in the development of the UCA? Teachers? ____ Principals? ____ Early childhood program directors? ____ Private school principals? ____ Parents? ____ Others? ____ (Please note)
7	SCHOOLWIDE PROGRAMS	For schools approved by the LEA to operate a schoolwide program, required schoolwide reform strategies are implemented.	What schoolwide reform strategies are being implemented in the district this year? How were they selected? What were the criteria?
9	SCHOOLWIDE PROGRAMS	In schoolwide program schools, high-quality and ongoing professional development is provided for teachers, principals, and paraprofessionals and, if appropriate, pupil services personnel, parents, and other staff to enable all children to meet the state's student academic achievement standards.	What types of professional development were provided this year for: Teachers? Principals? Paraprofessionals? Pupil services personnel? Parents? Other staff?

Item	Topic	Legal Requirement	District Staff Interview Question(s)
10	SCHOOLWIDE PROGRAMS	In schoolwide program schools, strategies are implemented to attract highly qualified teachers to high-need schools.	<u>Questions for District Human Resources Director:</u> What strategies have you implemented to attract highly qualified teachers to the high-need schools in your district? Do you have any evidence that these strategies are likely to attract or have attracted highly qualified staff into your high-need schools?
18	TARGETED ASSISTANCE SCHOOLS	Targeted assistance programs focus on children who are failing or most at-risk of failing to meet State standards, using multiple, educationally-related, and objective criteria.	How do you ensure that children with the greatest academic need are identified for and served by Title I services? How has your district documented these criteria? How have you shared these selection criteria with participating schools?
23	TARGETED ASSISTANCE SCHOOLS	In targeted assistance schools, opportunities are provided for professional development for personnel and, if appropriate, parents, who work with participating children either in the Title I program or the regular education program.	How are, all school personnel who work with participating children provided with professional development opportunities that are aligned with school and student needs? How have you documented these opportunities?
25	FOCUS OR PRIORITY SCHOOLS	Results of the annual review of student data from all participating schools are publicized and disseminated to parents, teachers, principals, schools, and the community.	What kind of information about the participating schools and their performance has been distributed to teachers, other staff, parents and the community? How was this information distributed?

Item	Topic	Legal Requirement	District Staff Interview Question(s)
27	FOCUS OR PRIORITY SCHOOLS	Focus or Priority Schools, in consultation with parents, the LEA, and the school support team, develop and/or revise their school plans in ways that meet all required components and that have the greatest likelihood of improving the performance of participating children, and submit such plans to the LEA for approval.	<p>How did parents, district staff, <i>and</i> school support teams collaborate to develop the most recent school improvement plans in the district?</p> <p>How can you verify that all of your most recently submitted school improvement plans include all required components?</p> <p>How do you ensure that the most recent improvement plans submitted by Focus or Priority Schools are likely to improve student performance?</p>
29	FOCUS OR PRIORITY SCHOOLS	For each school identified as Focus or Priority Schools, the LEA ensures the provision of technical assistance as the school develops and implements the Title I Focus or Priority Schools plan throughout the plan's duration.	<p>What technical assistance did you provide to help each of your schools identified as a Focus or Priority School develop and implement an improvement plan?</p>
31	PARENT INVOLVEMENT	The LEA has developed, jointly with parents of participating children, a parent involvement policy that reflects the content described in 20 USC §6318(a) (2). The policy has been distributed to parents and included in the UCA, and includes an evaluation of the effectiveness of the parent involvement policy and activities.	<p>How did you involve parents in the development of the district's parent involvement policy?</p> <p>How can you verify that the district's parent involvement policy includes all required components?</p> <p>How was the policy distributed to parents?</p> <p>How are you evaluating the effectiveness of the district's parent involvement policy and activities?</p>

Item	Topic	Legal Requirement	District Staff Interview Question(s)
32	PARENT INVOLVEMENT	For LEAs that receive \$500,000 or more in Title IA funds, the LEA reserves not less than 1% of its Title I allocation for parental involvement activities, of which 95 percent of such funds is distributed to participating schools.	Does the district receive \$500,000 or more in Title IA funds? IF YES.... What percentage of the district's Title IA funds was allocated for parent involvement activities? What percentage of these allocated monies was distributed to participating schools?
33	PARENT INVOLVEMENT	Each participating school has developed jointly with, and distributed to, parents of participating children a written parent involvement policy, agreed upon by such parents.	How can you verify that participating schools have involved parents in the development of their written parent involvement policies? How can you verify that these policies were distributed in understandable and uniform formats?
34	PARENT INVOLVEMENT	Each participating school provides for the involvement of parents as specified in subsection ESEA1118 20 USC §6318(c).	What types of parent meetings do schools organize every year? What information is provided to parents at these meetings?
41	PRIVATE SCHOOLS	Educational services and benefits for eligible nonpublic school children are equitable in comparison to services and other benefits for participating public school children.	How can you verify that the services offered to the district's private school students are equitable to the Title I services provided to participating public school children?
44	FISCAL REQUIREMENTS	The LEA uses Title I funds to supplement and not supplant state and local funding.	How can you verify that the district's Title I funding is used to supplement and not supplant the local school program?

Item	Topic	Legal Requirement	District Staff Interview Question(s)
48	FISCAL REQUIREMENTS	The LEA maintains an inventory of equipment purchased with Title I funds that meets the requirements of 34 CFR §80.32(d).	Does the LEA maintain an inventory of Title I equipment in accordance with 34 CFR Part 80.32(d)?
49	FISCAL REQUIREMENTS	The LEA resolves any issues identified in a single audit related to Title I within six months of receiving the audit report.	(If district underwent Title I audit) – How was the district able to resolve all of the issues identified in its Title I audit within six months?

**Utah State Office of Education ESEA Title I Part A Monitoring
Onsite Interview Questions
SCHOOL PRINCIPALS**

School(s) _____ Date _____

District _____ Reviewer _____

Item	Topic	Legal Requirement	School Principal Interview Question(s)
2	LEA PLAN	The UCA was developed in consultation with teachers, principals, administrators (including administrators of programs described in other parts of this title), and other appropriate school personnel, and with parents of children in schools served under this part.	Please describe your role in developing the UCA (district plan).
7	SCHOOLWIDE PROGRAMS	For schools approved by the LEA to operate a schoolwide program, required schoolwide reform strategies are implemented.	What schoolwide reform strategies are being implemented this year? How were they selected? What were the criteria?

Item	Topic	Legal Requirement	School Principal Interview Question(s)
9	SCHOOLWIDE PROGRAMS	In schoolwide program schools, high-quality and ongoing professional development is provided for teachers, principals and paraprofessionals and, if appropriate, pupil services personnel, parents and other staff to enable all children to meet the state's student academic achievement standards.	<p>What type of professional development were you provided with this year?</p> <p>What types of professional development were provided this year for:</p> <ul style="list-style-type: none"> Teachers? Principals? Paraprofessionals? Pupil services personnel? Parents? Other staff?
11	SCHOOLWIDE PROGRAMS	Schoolwide program schools implement plans for assisting children in the transition from early childhood programs to local elementary school programs.	<p><u>Question for Elementary School Principal:</u> What activities have you implemented to assist children in their transition from early childhood programs to your local elementary program?</p> <p><u>Question for Early Childhood Program Director:</u> How have you collaborated with the local elementary school(s) to help children transition from your program to theirs?</p>
12	SCHOOLWIDE PROGRAMS	In schoolwide program schools, teachers are included in decisions regarding the use of assessments.	How were teachers included in decisions regarding the use of assessments?
13	SCHOOLWIDE PROGRAMS	In schoolwide program schools, procedures are in place to ensure that students who experience difficulty mastering any of the proficient or advanced levels of academic standards are provided effective, timely additional assistance.	<p>What happens when a particular student falls behind?</p> <p>What kinds of extended learning time opportunities are offered to those who are experiencing difficulty?</p>

Item	Topic	Legal Requirement	School Principal Interview Question(s)
14	SCHOOLWIDE PROGRAMS	In schoolwide program schools, there is coordination and integration of federal, state and local services and programs.	How are federal, state, and local services and programs coordinated to implement local goals and objectives?
16	SCHOOLWIDE PROGRAMS	In schoolwide program schools, schoolwide plans are developed with the involvement of parents and other members of the community to be served and individuals who will carry out such plans.	How did you involve teachers, parents, and community members in the development of your schoolwide plan?
17	SCHOOLWIDE PROGRAMS	In schoolwide program schools, school plans are in an understandable and uniform format and are available to the LEA, parents, and the public.	In what format are your schoolwide plans made available to parents and the public? How are these plans distributed?
18	TARGETED ASSISTANCE SCHOOLS	Targeted assistance programs focus on children who are failing or most at-risk of failing to meet State standards, using multiple, educationally-related, and objective criteria.	How do you ensure that students with the greatest academic need are identified for and served by Title I services in your school? How have you documented these criteria? (Is there a list of students available?)

Item	Topic	Legal Requirement	School Principal Interview Question(s)
20	TARGETED ASSISTANCE SCHOOLS	<p>Targeted assistance programs use effective methods and instructional strategies that are based on scientifically-based research that strengthen the core academic program of the school and improve the achievement of children, and that:</p> <ul style="list-style-type: none"> a) Give primary consideration to extended time; b) Help provide an accelerated, high-quality curriculum; and c) Minimize removing children from the regular classroom during regular school hours. 	<p>How have you aligned curriculum, instruction, and assessment to meet state core curriculum, performance, and accountability standards?</p>
21	TARGETED ASSISTANCE SCHOOLS	<p>Targeted assistance program is coordinated with and supports the regular education program.</p>	<p>How does Title I targeted assistance services strengthen the regular education program in your school?</p> <p>How is the Title I targeted assistance program coordinated with the regular education program?</p> <p>How do you minimize the removal of Title I children from the regular classroom during school hours?</p>
23	TARGETED ASSISTANCE SCHOOLS	<p>In targeted assistance schools, opportunities are provided for professional development for personnel and, if appropriate, parents, who work with participating children either in the Title I program or the regular education program.</p>	<p>Are all school personnel who work with participating children provided with professional development opportunities that are aligned with school and student needs?</p> <p>How have you documented these opportunities?</p>

Item	Topic	Legal Requirement	School Principal Interview Question(s)
24	TARGETED ASSISTANCE SCHOOLS	In targeted assistance schools, the progress of participating children is reviewed on an ongoing basis to make program revisions, and, if necessary, provide additional assistance to children in meeting the state's challenging academic achievement standards.	<p>How does your school monitor the progress of participating children and use this progress data for program revisions?</p> <p>What steps has the school taken to look critically at this student progress data to determine program effectiveness?</p> <p>How are program changes made, as a result of these student progress findings?</p>
25	FOCUS OR PRIORITY SCHOOLS	Results of the annual review of student data from all participating schools are publicized and disseminated to parents, teachers, principals, schools, and the community.	<p>What kinds of information have you received about schools in the district and how well they are doing?</p> <p>How has this information been provided to you?</p>
28	FOCUS OR PRIORITY SCHOOLS	Focus or Priority Schools, in consultation with parents, the LEA, and the school support team, develop and/or revise their school plans in ways that meet all required components and that have the greatest likelihood of improving the performance of participating children, and submit such plans to the LEA for approval.	<p>How did you collaborate with parents, district staff, <i>and</i> the school support team to develop your most recent school improvement plan?</p> <p>How can you verify that your most recent focus or priority schools plan includes all of the required components?</p> <p>How do you ensure that your most recent focus or priority schools plan is likely to improve student performance?</p>

Item	Topic	Legal Requirement	School Principal Interview Question(s)
29	FOCUS OR PRIORITY SCHOOLS	For each school identified as Focus or Priority Schools, the LEA ensures the provision of technical assistance as the school develops and implements the Title I focus or priority schools plan throughout the plan's duration.	What technical assistance did the district provide to help you develop and implement your most recent focus or priority schools plan?
32	PARENT INVOLVEMENT	For LEAs that receive \$500,000 or more in Title IA funds, the LEA reserves not less than 1% of its Title I allocation for parental involvement activities, of which 95 percent of such funds is distributed to participating schools.	<u>Only if the district receives \$500,000 or more in Title IA funds:</u> Was 95 percent of the district's Title I parent involvement funding distributed to participating schools?
33	PARENT INVOLVEMENT	Each participating school has developed jointly with, and distributed to, parents of participating children a written parent involvement policy, agreed upon by such parents.	How did you involve parents in the development of your school's written parent involvement policy? How was the parent involvement policy distributed? (In an understandable and uniform format? In a language the parents could understand?)
34	PARENT INVOLVEMENT	Each participating school provides for the involvement of parents as specified in subsection ESEA 1118 20 USC §6318(c).	How often are your school's parents invited to participate in meetings? What are the meetings about? What information is provided to parents at these meetings?
35	PARENT INVOLVEMENT	Participating schools have jointly developed with parents of participating children a school-parent compact.	How were your school's parents involved in the development of the school-parent compact?

Item	Topic	Legal Requirement	School Principal Interview Question(s)
36	PARENT INVOLVEMENT	School-parent compacts outline how parents, school staff and students will share the responsibility and define the means for improving student achievement.	<p>What information is contained in your school-parent compact?</p> <p>How was the content of the compact decided?</p> <p>How has your school made its school-parent compact available to parents? (In an understandable and uniform format? In a language the parents could understand?)</p>
37	QUALIFICATIONS FOR TEACHERS AND PARAPROFS.	All paraprofessionals working in a program supported by Title I funds are highly qualified as defined in 20 USC §6319(c–e), and provide services as allowed under 20 USC §6319(g).	<p>How do you ensure that the paraprofessionals in your school are highly qualified?</p> <p>What services are provided by the paraprofessionals in your school?</p> <p>How do you ensure that paraprofessionals in your school are under the direct supervision of a highly qualified teacher?</p>
38	QUALIFICATIONS FOR TEACHERS AND PARAPROFS.	If Title I staff assume limited duties that are assigned to similar personnel who are not working in Title I, including duties beyond classroom instruction or that do not benefit participating children, the amount of time spent on such duties must not exceed in the same proportion of total work time as prevails with respect to similar personnel at the same school.	<p>How do you ensure that the non-instructional duties assigned to Title I-funded staff are equivalent to those assigned to non-Title I staff in your school?</p>

Item	Topic	Legal Requirement	School Principal Interview Question(s)
40	PRIVATE SCHOOLS	The LEA consults with appropriate nonpublic school officials, in a timely and meaningful manner, regarding the provision of Title I educational services to eligible children, and in the design and development of its Title I program.	<p><u>Questions for Private School Official:</u> How has the district consulted with you about the design and development of its Title I program?</p> <p>How did you feel about the timeliness and meaningfulness of this consultation?</p>
41	PRIVATE SCHOOLS	Educational services and benefits for eligible nonpublic school children are equitable in comparison to services and other benefits for participating public school children.	<p><u>Questions for Private School Official:</u> Are the Title I services offered to private school children equitable to the services provided to public school children in the district? Why do you feel this is the case?</p> <p>Do you have any documentation to support this?</p>
43	FISCAL REQUIREMENTS	The LEA maintains its fiscal effort when compared to the previous fiscal year.	Does evidence indicate that the LEA has maintained its fiscal effort when compared to expenditures in previous years?
44	FISCAL REQUIREMENTS	The LEA uses Title I funds to supplement and not supplant state and local funding.	Does evidence indicate that Title I funds are being used to supplement, not supplant, the local school program?
45	FISCAL REQUIREMENTS	The LEA provides services to Title I schools that, taken as a whole, are at least comparable to services in schools that are not receiving Title I funds.	Does evidence indicate that the LEA provides services to Title I schools that, taken as a whole, are at least comparable to services in schools that are not receiving Title I funds?

Item	Topic	Legal Requirement	School Principal Interview Question(s)
46	FISCAL REQUIREMENTS	Charges for wages and salaries of employees who work on multiple activities or cost objectives are supported by time and effort documentation	<p>A. Do documents show an after-the-fact distribution of the actual activity of each employee?</p> <p>B. Do documents account for the total activity for which each employee was compensated?</p> <p>C. Did the employee sign his/her time and effort documentation?</p>
47	FISCAL REQUIREMENTS	Salaries of employees who work on a single Federal award or cost objective are supported by periodic certifications that the employees work solely on that program for the period covered by the certification.	<p>A. Are certifications of employee time and effort prepared and signed at least semi-annually by the employee or a supervisor with first-hand knowledge of the work?</p> <p>B. Do these certifications demonstrate that the employee works exclusively for the program?</p>
48	FISCAL REQUIREMENTS	The LEA maintains an inventory of equipment purchased with Title I funds that meets the requirements of 34 CFR §80.32(d).	Does the LEA maintain an inventory of Title I equipment in accordance with 34 CFR Part 80.32(d)?
49	FISCAL REQUIREMENTS	The LEA resolves any issues identified in a single audit related to Title I within six months of receiving the audit report	<p>A. Does evidence indicate that the LEA took corrective action and resolved any issues within six months of receiving the audit findings?</p> <p>B. Did the follow up/corrective action meet the requirements of Section 315 of OMB Circular A-133?</p>

Item	Topic	Legal Requirement	School Principal Interview Question(s)
50	FISCAL REQUIREMENTS	All expenditures incurred under Title I, including instructional supplies and materials, must be reasonable and allowable under the guidelines set forth by 2 CFR Part 225, Appendix A, Section C.	Does evidence indicate that the expenditure was reasonable and allowable under the guidelines set forth in 2 CFR Part 225, Appendix A, Section C?

**Utah State Office of Education ESEA Title I Part A Monitoring
Onsite Interview Questions
TEACHERS**

School(s) _____ Date _____

District _____ Reviewer _____

Item	Topic	Legal Requirement	Teacher Interview Question(s)
2	LEA PLAN	The UCA was developed in consultation with teachers, principals, administrators (including administrators of programs described in other parts of this title), and other appropriate school personnel, and with parents of children in schools served under this part.	Please describe your role in developing the UCA (district plan).
7	SCHOOLWIDE PROGRAMS	For schools approved by the LEA to operate a schoolwide program, required schoolwide reform strategies are implemented.	What schoolwide reform strategies are being implemented in your school this year? How were they selected? What were the criteria?

Item	Topic	Legal Requirement	Teacher Interview Question(s)
9	SCHOOLWIDE PROGRAMS	In schoolwide program schools, high-quality and ongoing professional development is provided for teachers, principals and paraprofessionals and, if appropriate, pupil services personnel, parents and other staff to enable all children to meet the state's student academic achievement standards.	Please describe the professional development you were provided with in the past year.
12	SCHOOLWIDE PROGRAMS	In schoolwide program schools, teachers are included in decisions regarding the use of assessments.	Please describe how you have participated in decisions regarding the use of assessments in your school.
13	SCHOOLWIDE PROGRAMS	In schoolwide program schools, procedures are in place to ensure that students who experience difficulty mastering any of the proficient or advanced levels of academic standards are provided effective, timely additional assistance.	<p>What happens when a particular student falls behind?</p> <p>What kinds of extended learning time opportunities are offered to those who are experiencing difficulty?</p>
16	SCHOOLWIDE PROGRAMS	In schoolwide program schools, schoolwide plans are developed with the involvement of parents and other members of the community to be served and individuals who will carry out such plans.	Please describe how you were involved in the development of the schoolwide plan at your school.

Item	Topic	Legal Requirement	Teacher Interview Question(s)
19	TARGETED ASSISTANCE SCHOOLS	Children from preschool through Grade 2 are selected solely on the basis of such criteria as teacher judgment, interviews with parents and developmentally-appropriate measures.	How are children in grades PK-2 selected for Title I services in your school? How have these criteria been documented? (Is there a list of students available?)
20	TARGETED ASSISTANCE SCHOOLS	Targeted assistance programs use effective methods and instructional strategies that are based on scientifically-based research that strengthen the core academic program of the school and improve the achievement of children, and that: a) Give primary consideration to extended time; b) Help provide an accelerated, high-quality curriculum; and c) Minimize removing children from the regular classroom during regular school hours.	How did your school/district determine that its instructional programs are research-based? What evidence do you have that children are progressing toward meeting state standards?
21	TARGETED ASSISTANCE SCHOOLS	Targeted assistance program is coordinated with and supports the regular education program.	How do Title I targeted assistance services support instruction in your classroom? Please be as specific as possible.

Item	Topic	Legal Requirement	Teacher Interview Question(s)
23	TARGETED ASSISTANCE SCHOOLS	In targeted assistance schools, opportunities are provided for professional development for personnel and, if appropriate, parents, who work with participating children either in the Title I program or the regular education program.	<p><u>Questions for Teachers and Paraprofessionals:</u> Please describe the professional development opportunities for school personnel who work with participating children.</p> <p>What does this professional development consist of?</p> <p>How were these professional development opportunities documented?</p>
24	TARGETED ASSISTANCE SCHOOLS	In targeted assistance schools, the progress of participating children is reviewed on an ongoing basis to make program revisions, and, if necessary, provide additional assistance to children in meeting the state's challenging academic achievement standards.	<p><u>Questions for Teachers and School Counselors (if applicable):</u> How does your school monitor the progress of participating children and use this progress data for program revisions?</p> <p>What steps has the school taken to look critically at this student progress data to determine program effectiveness?</p> <p>How are program changes made, as a result of these student progress findings?</p>
25	FOCUS OR PRIORITY SCHOOLS	Results of the annual review of student data from all participating schools are publicized and disseminated to parents, teachers, principals, schools, and the community.	<p>What kinds of information have you received about schools in the district and how well they are doing?</p> <p>Have you received a UCAS school report card? In what format was it received?</p>

Item	Topic	Legal Requirement	Teacher Interview Question(s)
34	PARENT INVOLVEMENT	School-parent compacts outline how parents, school staff and students will share the responsibility and define the means for improving student achievement	<p>What information is contained in your school-parent compact?</p> <p>How does the compact describe how responsibilities for student achievement will be shared?</p> <p>How has your school made its school-parent compact available to parents? (In an understandable and uniform format? In a language the parents could understand?)</p>
37	QUALIFICATIONS FOR TEACHERS AND PARAPROFS.	All paraprofessionals working in a program supported by Title I funds are highly qualified as defined in 20 USC §6319(c–e), and provide services as allowed under 20 USC §6319(g).	<p><u>Questions for Paraprofessionals:</u></p> <p>How does your school ensure that its paraprofessionals are highly qualified?</p> <p>What are your responsibilities at the school?</p> <p>Are you consistently under the direct supervision of a highly qualified teacher?</p>
38	QUALIFICATIONS FOR TEACHERS AND PARAPROFS.	If Title I staff assume limited duties that are assigned to similar personnel who are not working in Title I, including duties beyond classroom instruction or that do not benefit participating children, the amount of time spent on such duties must not exceed in the same proportion of total work time as prevails with respect to similar personnel at the same school.	<p><u>Questions for Teachers and Paraprofessionals:</u></p> <p>How is Title I staff used in the building?</p> <p>What sorts of tasks are Title I teachers and paraprofessionals asked to do that non-Title I teachers and paraprofessionals are not asked to do?</p>

**Utah State Office of Education ESEA Title I Part A Monitoring
Onsite Interview Questions
PARENTS**

School(s) _____ Date _____

District _____ Reviewer _____

Item	Topic	Legal Requirement	Parent Interview Question(s)
2	LEA PLAN	The UCA was developed in consultation with teachers, principals, administrators (including administrators of programs described in other parts of this title), and other appropriate school personnel, and with parents of children in schools served under this part.	Please describe your role in the school district planning process (i.e., developing the district plan (UCA)).
9	SCHOOLWIDE PROGRAMS	In schoolwide program schools, high-quality and ongoing professional development is provided for teachers, principals and paraprofessionals and, if appropriate, pupil services personnel, parents and other staff to enable all children to meet the state's student academic achievement standards.	Please describe the training the school offered to parents this year.

Item	Topic	Legal Requirement	Parent Interview Question(s)
11	SCHOOLWIDE PROGRAMS	Schoolwide program schools implement plans for assisting children in the transition from early childhood programs to local elementary school programs.	How did your child's elementary school help him/her transition into its program from his/her preschool?
13	SCHOOLWIDE PROGRAMS	In schoolwide program schools, procedures are in place to ensure that students who experience difficulty mastering any of the proficient or advanced levels of academic standards are provided effective, timely additional assistance.	What kinds of help do children get from the school when they fall behind? Is this help timely and effective? Why do you feel this way?
16	SCHOOLWIDE PROGRAMS	In schoolwide program schools, schoolwide plans are developed with the involvement of parents and other members of the community to be served and individuals who will carry out such plans.	<u>Question for Parents and Community Members:</u> Please describe your involvement in the development of the schoolwide plan at your local school.
17	SCHOOLWIDE PROGRAMS	In schoolwide program schools, school plans are in an understandable and uniform format and are available to the LEA, parents, and the public.	How was the most recent schoolwide plan from your child's school made available to you? Was the schoolwide plan clear and understandable?
19	TARGETED ASSISTANCE SCHOOLS	Children from preschool through Grade 2 are selected solely on the basis of such criteria as teacher judgment, interviews with parents and developmentally-appropriate measures.	Did your child's school consult with you about selecting your child to receive Title I services?

Item	Topic	Legal Requirement	Parent Interview Question(s)
20	TARGETED ASSISTANCE SCHOOLS	<p>Targeted assistance programs use effective methods and instructional strategies that are based on scientifically-based research that strengthen the core academic program of the school and improve the achievement of children, and that:</p> <ul style="list-style-type: none"> a) Give primary consideration to extended time; b) Help provide an accelerated, high-quality curriculum; and c) Minimize removing children from the regular classroom during regular school hours. 	<p>How well does your child's education program help him/her meet the state's academic standards?</p> <p>Does your child's education program provide him/her with extended learning time?</p> <p>Is your child removed from the regular classroom during school? If so, how often?</p>
23	TARGETED ASSISTANCE SCHOOLS	<p>In targeted assistance schools, opportunities are provided for professional development for personnel and, if appropriate, parents, who work with participating children either in the Title I program or the regular education program.</p>	<p>Please describe the training that the school offered to parents this year.</p>
25	FOCUS OR PRIORITY SCHOOLS	<p>Results of the annual review of student data from all participating schools are publicized and disseminated to parents, teachers, principals, schools, and the community.</p>	<p>What kinds of information have you received about schools in the district and how well they are doing?</p> <p>Have you received a school UCAS report card?</p> <p>In what format did you receive it?</p>

Item	Topic	Legal Requirement	Parent Interview Question(s)
27	FOCUS OR PRIORITY SCHOOLS	Does the LEA have elementary or secondary schools that did not meet growth projected by the UTAH COMPREHENSIVE ACCOUNTABILITY SYSTEM two years in a row and are not Focus or Priority Schools?	A. Does the LEA set-aside sufficient Title I funds to support identified schools? B. Did parents and students receive adequate notice?
28	FOCUS OR PRIORITY SCHOOLS	Focus or Priority Schools, in consultation with parents, the LEA, and the school support team, develop and/or revise their school plans in ways that meet all required components and that have the greatest likelihood of improving the performance of participating children, and submit such plans to the LEA for approval.	How were you involved in the development of the Focus or Priority School plan? Do you feel the school adequately solicited your comments and suggestions on its most recent Focus or Priority School plan?
31	PARENT INVOLVEMENT	The LEA has developed, jointly with parents of participating children, a parent involvement policy that reflects the content described in 20 USC §6318(a) (2). The policy has been distributed to parents and included in the UCA, and includes an evaluation of the effectiveness of the parent involvement policy and activities.	Please describe your involvement in the development of the <u>district's</u> parent involvement policy. Did you receive a written version of the district's parent involvement policy? Was the policy delivered in an understandable and uniform format? Was it provided in a language you could understand?

Item	Topic	Legal Requirement	Parent Interview Question(s)
33	PARENT INVOLVEMENT	Each participating school has developed jointly with, and distributed to, parents of participating children a written parent involvement policy, agreed upon by such parents.	<p>Please describe your involvement in the development of the <u>school's</u> parent involvement policy.</p> <p>Did you receive a written version of the school's parent involvement policy?</p> <p>Was the policy delivered in an understandable and uniform format?</p> <p>Was it provided in a language you could understand?</p>
34	PARENT INVOLVEMENT	Each participating school provides for the involvement of parents as specified in subsection ESEA1118 20 USC §6318(c).	<p>How often are you invited to participate in meetings at the school or district?</p> <p>What are the meetings about?</p> <p>What information is provided at these meetings?</p> <p>What other opportunities are provided for you to get involved at the school?</p>
35	PARENT INVOLVEMENT	Participating schools have jointly developed with parents of participating children a school-parent compact.	Please describe your involvement in the development of the school-parent compact.

Item	Topic	Legal Requirement	Parent Interview Question(s)
36	PARENT INVOLVEMENT	School-parent compacts outline how parents, school staff and students will share the responsibility and define the means for improving student achievement.	<p>What information is contained in your school-parent compact?</p> <p>Does the compact explain how you will partner with your child's school to improve your child's achievement and help him/her reach state standards?</p> <p>How was the content of the compact decided?</p> <p>How has your child's school made its school-parent compact available to you? (In an understandable and uniform format? In a language you could understand?)</p>
39	QUALIFICATIONS OF TEACHERS AND PARAPROFS.	At the beginning of each year, the LEA notifies parents of each student attending a Title I participating school that the parents may request, and the agency will provide, upon request, information regarding the professional qualifications of the student's classroom teachers.	Were you informed about your right to know the professional qualifications of your child's classroom teacher? If so, how were you notified?