ESEA Programmatic Monitoring Guidance Handbook

Academic Achievement Unit
Arizona Department of Education

FY25

The Arizona Department of Education is a service organization committed to raising academic outcomes and empowering parents.

Academic Achievement Unit

The Academic Achievement Unit provides technical assistance, service, and support to Local Educational Agencies and schools to raise academic outcomes and empower parents to ensure an excellent education for every child.

Consulted Stakeholders

The Committee of Practitioners is a group committed to serving as an advisory council to the Arizona Department of Education to ensure that all students under the Elementary and Secondary Education Act (ESEA), as reauthorized by the Every Student Succeeds Act (ESSA), are provided equitable access to an excellent education.

The Committee of Practitioners was consulted to ensure that the diverse perspectives representing the tapestry of the educational and geographical contexts across Arizona were intentionally incorporated into the ESEA Programmatic Monitoring.

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ESEA Programmatic Monitoring Guidance Handbook Purpose

The Arizona Department of Education (ADE), Academic Achievement ESEA Team has collaboratively developed this guidance document to provide Local Education Agencies (LEAs) a list of requirements for certain Federal ESEA programs. LEAs are encouraged to review this handbook and use it as a tool to maintain compliance with federal statutes.

Acronyms List

ADE – Arizona Department of Education

CAP – Corrective Action Plan

CNA – Comprehensive Needs Assessment

EL – English Learner

EMAC – Educational Monitoring and Compliance

ESEA – Elementary and Secondary Education Act

ESSA – Every Student Succeeds Act

GME – Grants Management Enterprise

GSA – General Statement of Assurances

HCY – Homeless Children and Youth

IAP – Integrated Action Plan

LEA – Local Educational Agency

MR – Main Requirement

N or D – Neglected or Delinquent

RLIS – Rural and Low-Income Schools

SEA – State Education Agency

TIA – Teacher Input Application

UHY – Unaccompanied Homeless Youth

USDOE – United States Department of Education

ESEA Programmatic Monitoring Introduction

Programmatic monitoring is an essential function of the Arizona Department of Education's Academic Achievement Unit. The Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA) in December 2015, requires State Educational Agencies (SEAs) to monitor LEAs that accept ESEA grant funds. The purpose of ESEA grant funds is to provide all children significant opportunities to receive a fair, equitable, and high-quality education, and to close educational achievement gaps.

The Arizona Department of Education (ADE) has revised its approach to ESEA Programmatic Monitoring to increase efficiency and alignment across program areas by:

1) Coalescing the requirements of the following:
   - Title I-A: Improving Basic Programs Operated by Local Educational Agencies
   - Title I-D: Prevention, and Intervention Programs for Children and Youth Who are Neglected, Delinquent or At Risk (N or D)
   - Title II-A: Supporting Effective Instruction
   - Title III-A: English Language Acquisition, Enhancement, and Academic Achievement Act (in conjunction with OELAS)
   - Title V-B: Rural Education Initiative (RLIS)

2) Streamlining monitoring to four (4) cycles based on extensive review and ongoing consultation with stakeholders:

The overarching objectives of ADE ESEA Programmatic Monitoring are:

- Ensure all LEAs that accept any Title I-A, Title I-D, Title II-A, Title III-A, or RLIS funds know, understand, and maintain compliance with all statutory requirements
- Provide timely and relevant feedback to LEAs on the implementation of policies and procedures aligned with statutory requirements and maximize the LEAs' effectiveness in empowering parents and raising academic outcomes for all students
- Ensure that all required evidentiary elements and the process through which compliance is determined are clearly defined and grounded in statute

ESEA Programmatic Monitoring Revision Process

To determine the mandatory requirements when accepting federal funding, the team began the work of reading, researching, and breaking down the applicable ESEA statutes, as amended through P.L. 115-224. Then each section of ESEA statute was segmented into requirements based on the text of the law; with many layers of review throughout the process to ensure the monitoring requirements are substantiated by statute. Throughout the work of ESEA statute review, there were four overarching themes that kept emerging as aspects to achieve the purpose of the grant funds: Stakeholder Engagement, Policies & Procedures, Students, and Programming.

It was decided that each of the themes would be referred to as an Umbrella, since the term signifies something that covers similar items. Through the grouping of statutes under the umbrellas, descriptions of each umbrella were developed to give context to stakeholders of the similar items included in each umbrella. There are descriptions of each umbrella in the appendix, which provide the main context, and examples of items that are covered by that umbrella.

Stakeholder Engagement   Policies and Procedures   Students   Programming

In establishing the required monitoring components of each of the individual cycles, at least one main requirement applicable to each umbrella must be included due to the fundamental correlation to supporting the purpose of ESEA funds.

The evidence for Programmatic Monitoring was determined using statutory requirements. A total of 16 main requirements were identified. Each requirement has been formulated into data collection and evaluation tasks taking into consideration the LEA's current procedures, policies, and best practices, knowing there may be some modifications that may be needed by LEAs to ensure compliance with the statutory requirements. The Programmatic Monitoring has also aligned several submissions to other

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ADE departments that meet the statutory requirements of ESEA to be used as evidence, for example Teacher Input Application (TIA).

Main Requirement Number and Verbiage

1	The LEA must develop, review, and revise a plan to utilize ESEA funding in consultation with stakeholders and in coordination with other programs.	9	All targeted assistance Title I schools, within the LEA, have a plan that include all required elements.
2	The LEA plan to utilize ESEA funding must include descriptions of how the LEA intends to fulfill requirements of each ESEA funding source.	10	Each LEA shall maintain a written parent and family engagement policy that is, jointly developed, agreed upon and distributed to parents and family members of students participating in Title I programs or services.
3	The LEA has transition plans for applicable groups served by the LEA, including program to program.	11	School level plan for building capacity for parental involvement, including how to understand and monitor student's academic achievement and performance, training and materials for parents to work with their children on academics, channels of communication, and a School-Parent Compact which lead to supporting children's academic success.
4	The LEA assures the mandatory requirements of each ESEA funding source will be done.	12	The LEA provides training and support to build the capacity of parents and families to support their students.
5	The LEA complies with all required parts of the McKinney-Vento Homeless Assistance Act	13	Professional development is provided to staff ensuring topics align with the needs of students, including mandatory trainings.
6	LEAs with Title I-A funded preschool programs will adhere to consultation, programming, and/or planning requirements.	14	The LEA has a staff evaluation and support procedure that is based on comprehensive needs assessment and data analysis which includes retention and recruitment of effective teachers.
7	The LEA will provide all mandatory parent's rights to information and/or notices in a timely manner, and in a format and language that is understood by parents.	15	Each LEA receiving Title III-A funds are required to provide supplemental programming and services to assist English Learners to achieve English Proficiency and increase academic achievement.
8	All schoolwide Title I schools, within the LEA, have a plan that includes all required elements.	16	Each LEA receiving Title I-D funds are required to provide supplemental programming and services for neglected or delinquent children and youth needed to make a successful transition from institutionalization to further schooling or employment.

The *ESEA Programmatic Monitoring Guidance Handbook* has been developed to support LEAs receiving ESEA funding to guide in the requirements to ensure compliance and effectiveness. This handbook is not an all-inclusive list of documentation or evidence needed to comply with all Federal, State, and local mandates. Therefore, the LEA is responsible for maintaining compliance with all Federal, State, and local laws.

Note: LEAs are responsible for locally maintaining the sources of documentation used to provide evidence of compliance for a minimum of 7 years. For further information about records maintenance, visit the Arizona State Library, Archives, and Public Records (here). Documentation must be promptly available at the request of the Arizona Department of Education, U.S. Department of Education, and members of the public, when applicable.

ESEA Programmatic Monitoring Process

Each of the 16 Main Requirements (MRs) have been assigned to one of the four cycles. Two (Main Requirement 4 and Main Requirement 5) of the 14 are assigned to each of the cycles. Each Main Requirement includes data collection tasks for the LEAs allocated to that Cycle to complete. Each task in the cycle will be evaluated by an assigned ADE Program Specialist based on timeline (below.).

Cycles	Main Requirement Number
Cycle 1	3,4,5,6,11
Cycle 2	4,5,7,8,9,15
Cycle 3	2,4,5,12,14
Cycle 4	1,4,5,10,13

Each LEA has been assigned into one of four cycles. LEAs were randomly distributed across cycles in balance by District and Charters and Program Specialists. Charter Management Organizations (CMO) are grouped together in the Cycle assigned. On-site visits are assigned to LEAs across all cycles.

During the assigned cycle, ADE will monitor the LEA for compliance with Federal and State mandates and effectiveness in the use of ESEA funds, based on the evidence provided. In each cycle, LEAs will be assigned a desktop review and may also be assigned an on-site visit. All LEAs will be required to complete all Required Data Collection Tasks in their assigned cycle. LEAs have been chosen for on-site visits based on a needs analysis, that included the risk assessment level assigned to the LEA by Grants Management, previous audit findings, LEAs on corrective action, needs of federal programs staff, staff turnover, or at the request of the LEA.

FY25 Programmatic Monitoring will officially begin on December 2, 2024, with an end date of March 1, 2025. Prior to this date, LEAs have required data collection tasks that must be completed by the LEA Authorized Representative (it should be the person who completes the grant application) and the LEA Entity Authorized Signer for the FY25 ESEA programmatic monitoring cycle to open, please refer to the *Launching a Successful ESEA Programmatic Monitoring Cycle* section of this handbook for more details. Once these tasks have been completed, the rest of the monitoring data collection tasks will be launched in the Educational Monitoring and Compliance (EMAC) platform for the LEA.

LEAs Assigned Desktop Monitoring: Each Cycle includes trainings, office hours, and due dates of Data Collection tasks for ADE to evaluate the data collection tasks for compliance, effectiveness, and providing feedback to the LEA. Please note, any LEA not adhering to due dates will be placed on programmatic hold until the issue is resolved.

LEAs Assigned On-Site Monitoring: Each LEA will receive notification of their on-site visit, specific due dates of evidence and documentation to be submitted, trainings, and office hours to ensure the site visit is the most efficient and effective to provide feedback to the LEA.

Below is timeline for the FY25 ESEA Programmatic On-Site Visit Monitoring process:

Site Visit:

Before 12/2/24	10 calendar days prior to site visit	5 calendar days prior to site visit	On-Site Visit	3 days after On-Site Visit	2 weeks after Feedback and Evaluation
Launch Successful ESEA Program Monitoring Cycle, Training Completed, and EMAC task submitted.	LEA submits required evidence in assigned EMAC cycle.	LEA submits schedule for visit based on requests from ADE.		ADE and LEA have virtual feedback meeting including evaluation.	LEA submits Corrective Action Plan if necessary.

<u>Evaluation, Feedback, and Next Steps:</u> ADE staff will evaluate data collection tasks in EMAC and submissions to other platforms used by ADE for compliance and effectiveness. It is important that all submissions and responses provided to cycle monitoring data collection tasks are accurate. The correct responses are those that represent the current circumstances at the LEA, this allows ADE to truly identify topics that need additional technical assistance to support LEAs in making progress towards increased student achievement. The evaluation process will provide the opportunity to showcase LEAs through the collection of best practices and exemplary activities to share that helpful in maintaining compliance and/or effective in meeting the goals of ESEA funding sources. Additional information may be requested to provide a fair evaluation; the LEA will have three days from the date of the request to submit the additional information or will be placed on programmatic hold until the issue is resolved.

Based on the evaluation of data collection tasks and, where applicable, the on-site visit, ADE will provide feedback to the LEA. Since some of the data collection tasks are for gathering more information from LEAs to determine technical assistance needs, there will not be feedback provided.

Next Steps for an LEA will be determined based on ADE's evaluation of the data collection tasks. Demonstrating compliance with all applicable Main Requirements of ESEA statute is the responsibility of the LEA. If an LEA is unable to demonstrate compliance with appropriate evidence, they will be placed in corrective action. The LEA will have 2 weeks to create a Corrective Action Plan (CAP) that addresses each area of non-compliance noted by ADE, receive board approval, and upload the CAP to the required platform. Please note, any LEA not adhering to due dates will be placed on programmatic hold until the issue is resolved.

Data Collection Tasks in EMAC

ESEA Programmatic Monitoring uses two types of data collection tasks for LEAs to complete for compliance of defined 16 Main Requirements: online forms and evidence document uploads. Rubrics are also provided for data collection tasks where applicable.

Educational Monitoring and Compliance (EMAC) is the application platform used to track the progress of state and federal monitoring requirements. It offers direct upload of monitoring evidence documents and online form completion related to the data collection tasks. A form could include typing information, choosing an answer from dropdown, checkbox, or entering data. An evidence document upload requires the EMAC Assigned User to upload the requested documentation.

All evidence and responses provided for cycle monitoring data collection tasks must be accurate. The correct responses are those that represent the current circumstances at the LEA, this allows ADE to truly identify topics throughout the state that need additional technical assistance to support with compliance and effectiveness. The table below indicates the main requirements that are in each cycle, as well as the type of submission that is required for monitoring.

ESEA Programmatic Monitoring Cycles

ADE has the responsibility of monitoring subgrantees. Each cycle has been chosen to include specific components of ESEA grant funding for monitoring. The data collection tasks include evidence uploads, forms to complete, and ratings of items that are submitted for the funding application and/or other program area submissions (see the Data Collection Tasks section for more detailed information). Each cycle has a mixture of data collection tasks, making sure that the combination of main requirements has monitoring tasks for all applicable funding sources and contains all four umbrellas.

Although each main requirement is assigned a cycle for monitoring, the LEA is responsible for maintaining compliance with all Federal, State, and local laws regarding ESEA funding, understanding that evidence may be requested at any time. This is not an all-inclusive list of documentation or evidence needed to comply with all Federal, State, and local mandates.

Required Tasks in Main Requirement: **U**=Upload   **F**=Form Response   **R**=Rubric/Rating

#	Main Requirement	CYCLE 1	CYCLE 2	CYCLE 3	CYCLE 4
1	The LEA must develop, review, and revise a plan to utilize ESEA funding in consultation with stakeholders and in coordination with other programs.				F, R
2	The LEA plan to utilize ESEA funding must include descriptions of how the LEA intends to fulfill requirements of each ESEA funding source.			R	
3	The LEA has transition plans for applicable groups served by the LEA, including program to program.	U, F			
4	The LEA assures the mandatory requirements of each ESEA funding source will be done.	F	F	F	F
5	The LEA complies with all required parts of the McKinney-Vento Homeless Assistance Act	F, R	F, R	F, R	U, F, R
6	LEAs with Title I-A funded preschool programs will adhere to consultation, programming, and/or planning requirements.	U			
7	The LEA will provide all mandatory parent's rights to information and/or notices in a timely manner, and in a format and language that is understood by parents.		U, F		
8	All schoolwide Title I schools, within the LEA, have a plan that includes all required elements.		F		
9	All targeted assistance Title I schools, within the LEA, have a plan that includes all required elements.		U		
10	Each LEA shall maintain a written parent and family engagement policy that is jointly developed, agreed upon, and distributed to parents and family members of students participating in Title I programs or services.				U, F
11	School level plan for building capacity for parental involvement, including how to understand and monitor student's academic achievement and performance, training and materials for parents to work with their children on academics, channels of communication, and a School-Parent Compact which lead to supporting children's academic success.	F			
12	The LEA provides training and support to build the capacity of parents and families to support their students.			U	
13	Professional development is provided to staff ensuring topics align with the needs of students, including mandatory trainings.				U
14	The LEA has a staff evaluation and support procedure that is based on comprehensive needs assessment and data analysis which includes retention and recruitment of effective teachers.			U, R	
15	Each LEA receiving Title III-A funds are required to provide supplemental programming and services to assist English Learners to achieve English Proficiency and increase academic achievement.		U		
16	Each LEA receiving Title I-D funds is required to provide supplemental programming and services for neglected or delinquent children and youth needed to make a successful transition from institutionalization to further schooling or employment.				

Main Requirements by Cycle			Title I-A	Title I-D	Title II-A	Title III-A	Policies and Procedures	Programming	Stakeholder Engagement	Students
Cycle 1	4	The LEA assures the mandatory requirements of each ESEA funding source will be done.	X	X	X	X	X	X		X
	5	The LEA complies with all required parts of the McKinney-Vento Homeless Assistance Act	X	X	X	X	X			X
	3	The LEA has transition plans for applicable groups served by the LEA, including program to program.	X	X		X		X		X
	6	LEAs with Title I-A funded preschool programs will adhere to consultation, programming, and/or planning requirements.	X	X		X	X		X	
	11	School level plan for building capacity for parental involvement, including how to understand and monitor student's academic achievement and performance, training and materials for parents to work with their children on academics, channels of communication, and a School-Parent Compact which lead to supporting children's academic success.	X	X	X	X	X		X	X
Cycle 2	4	The LEA assures the mandatory requirements of each ESEA funding source will be done.	X	X	X	X	X	X		X
	5	The LEA complies with all required parts of the McKinney-Vento Homeless Assistance Act	X	X	X	X	X			X
	7	The LEA will provide all mandatory parent's rights to information and/or notices in a timely manner, and in a format and language that is understood by parents.	X	X	X	X	X		X	
	8	All schoolwide Title I schools, within the LEA, have a plan that includes all required elements.	X				X	X	X	X
	9	All targeted assistance Title I schools, within the LEA, have a plan that include all required elements.	X				X	X	X	X
	15	Each LEA receiving Title III-A funds are required to provide supplemental programming and services to assist English Learners to achieve English Proficiency and increase academic achievement.				X		X		
Cycle 3	4	The LEA assures the mandatory requirements of each ESEA funding source will be done.	X	X	X	X	X	X		X
	5	The LEA complies with all required parts of the McKinney-Vento Homeless Assistance Act	X	X	X	X	X			X
	2	The LEA plan to utilize ESEA funding must include descriptions of how the LEA intends to fulfill requirements of each ESEA funding source.	X	X	X	X	X	X	X	X
	12	The LEA provides training and support to build the capacity of parents and families to support their students.	X	X	X	X	X		X	
	14	The LEA has a staff evaluation and support procedure that is based on comprehensive needs assessment and data analysis which includes retention and recruitment of effective teachers.	X		X		X	X		
Cycle 4	4	The LEA assures the mandatory requirements of each ESEA funding source will be done.	X	X	X	X	X	X		X
	5	The LEA complies with all required parts of the McKinney-Vento Homeless Assistance Act	X	X	X	X	X			X
	1	The LEA must develop, review, and revise a plan to utilize ESEA funding in consultation with stakeholders and in coordination with other programs.	X	X	X	X	X	X	X	
	10	Each LEA shall maintain a written parent and family engagement policy that is, jointly developed, agreed upon and distributed to parents and family members of students participating in Title I programs or services.	X				X		X	
	13	Professional development is provided to staff ensuring topics align with the needs of students, including mandatory trainings.	X	X	X	X	X	X		X

Launching a Successful ESEA Programmatic Monitoring Cycle

Due to the FY25 ESEA Programmatic Monitoring process being overhauled, ADE is committed to supporting LEAs with this transition. To help facilitate that support, providing foundational understanding of the process is essential. Each LEA will be required to have at least the LEA Authorized Representative completing the programmatic monitoring submissions and the LEA Entity Authorized Signer complete the following two tasks as part of monitoring. Once the two required LEA participants have completed and submitted the task in EMAC, the assigned Cycle Monitoring tasks will open. **Please note, LEAs can select additional LEA staff to complete the training as needed to ensure knowledge and understanding of the requirements of utilizing ESEA funding. The additional staff cannot replace the required participants.

LEA Authorized Representative Mandatory Task: View the Introduction to FY25 ESEA Programmatic Monitoring. This presentation is an overview of the revised ESEA Programmatic Monitoring process and includes pertinent information related to completing the process successfully. Once completed, there is a data collection task in EMAC, that is required to be filled out after the presentation is viewed.

LEA Entity Authorized Signer Mandatory Tasks: The LEA Entity Authorized Signer must view the Introduction to FY25 ESEA Programmatic Monitoring presentation. The LEA Authorized Signer must also complete the ESEA Programmatic Monitoring Acknowledgement Form data collection task within EMAC.

On November 4, 2024, ESEA Programmatic Monitoring will be available on the EMAC platform and at that time all LEAs will be able to login and submit the required evidence in the Launching a Successful ESEA Programmatic Monitoring Data Collection task. If an LEA does not complete and submit the required evidence in EMAC by 3pm on December 1, 2024, a programmatic hold will be placed on the LEA. A mandatory technical assistance training will be provided to these LEAs, at a later date, to complete the data collection tasks and remove the programmatic hold.

IMPORTANT NOTE: With different users responsible for completing the data collection task in EMAC, the different representatives will want to ensure they are saving their information and only submitting the task once both required representatives have completed each of their tasks.

Understanding Required ESEA Program Elements

The table below helps stakeholders understand the elements of the FY25 ESEA Programmatic Monitoring Guidance Handbook. It has been formatted to allow for easier use and understanding of each required piece of evidence. The intent of this key is to assist LEAs to know the purpose of each element (Statutory Citations, Umbrellas, Main Requirements, Guiding Questions, Required Evidence, and Supporting Resources) included in the requirements of statute.

Statutory Citations	Umbrellas	Main Requirements	
The legal citations for the requirement.	The categories that represent state statues based on similar criteria.	A general description of the requirements of statute	
Guiding Questions	**Required Evidence** **Including funding specific requirements, where noted		**Supporting Resources**
Note: A question to facilitate LEAs in the development, review, revision, and evaluation of requirements; may not require a direct response from LEAs. 1) A question that ascertains *what* is being done 2) A question to determine *how* things are being accomplished to satisfy a requirement. 3) A question that could be asked during monitoring.	Note: This is not an all-inclusive list of required evidence to comply with all Federal, State, and local mandates. Therefore, the LEA is responsible for maintaining compliance with all Federal, State, and local laws regarding ESEA funding. □ Evidence that may be submitted □ Evidence that could be used to demonstrate compliance □ All Required Evidence MUST adhere to General Documentation Standards Title XX-A: Specific content that is to be included, in addition to the Required Contents, if the LEA utilizes this funding source.		Note: Each requirement has been formulated taking into consideration the LEA's current procedures, policies, and best practices allowing LEAs autonomy and options for evidence submission. • File/Website for more information • Assistance Documents

General Documentation Standards

- ☐ Documentation may be in the preferred format the LEA selects provided it includes the required elements.
- ☐ Documentation submitted must have any Personal Identifying Information (PII) redacted
- ☐ Documentation Evidence: To sustain compliance, each type of evidence document must include at least the following:
    - o Distribution and/or a Posting:
        - ▪ Date and method of distribution or location of posting
        - ▪ Intended audience of distribution or posting
        - ▪ Identification of specific LEA or school site (letterhead, of logo, name, and contact information of site)
        - ▪ If required, signature of LEA Authorized Representative
        - ▪ Screenshot, if posting virtually
    - o Meeting, Activity and/or Event:
        - ▪ Advance notices (using Distribution standards above)
        - ▪ Sign In sheets (must include name of activity/event, date and time, participant information)
        - ▪ Agenda
        - ▪ Meeting Minutes, indicating list of decisions made
        - ▪ Presentation and/or materials used for activity or event, including shared data
    - o Communication
        - ▪ Date(s)
        - ▪ Titles of Individuals involved in communication
        - ▪ Text of communication
- ☐ Saving Documentation Evidence
    - o Naming Standards: Cycle Number 2025- Name of Evidence Document-Exact name of LEA (i.e. Cycle 3 Schoolwide Program Evaluation Procedure ABC Arts School)
    - o Must be less than 10MB in size
    - o Acceptable formats: PDF, Microsoft Word, Microsoft Excel, GIF, JPEG, or PNG

ESEA Funding Main Requirements

Statutory Citations	Umbrellas	Main Requirement 1	
20 U.S.C. 6312 § 1112 20 U.S.C. 6612 § 2102 20 U.S.C. 6612 § 2103 20 U.S.C. 6826 § 3116	Policies & Procedures Programming Stakeholder Engagement	The LEA must develop, review, and revise a plan to utilize ESEA funding in consultation with stakeholders and in coordination with other programs.	
Guiding Questions	**Required Evidence** ****Including funding specific requirements, where noted**		**Supporting Resources**
What data sources are used to develop the LEA's Integrated Action Plan goals and action steps? What are the inferences/conclusions stakeholders made based on the data sources? Which other federal, state, and local programs does the LEA receive and how does the LEA coordinate ESEA funding with them?	☐ List of stakeholders with titles and population representing ☐ Integrated Action Plan including Comprehensive Needs Assessment ☐ Integrated Action Plan monitoring procedure		• File: FY25 Stakeholder Quick Reference Guide • Website: Comprehensive Needs Assessment and Integrated Action Plan Tool • Assistance Document: Integrated Action Plan Procedure

Statutory Citations	Umbrellas	Main Requirement 2	
20 U.S.C. 6312 § 1112 20 U.S.C. 6436 § 1416 20 U.S.C. 6455 § 1425 20 U.S.C. 7351a § 5222	Policies & Procedures Programming Stakeholder Engagement Students	The LEA plan to utilize ESEA funding must include descriptions of how the LEA intends to fulfill requirements of each ESEA funding source.	
Guiding Questions	**Required Evidence** ****Including funding specific requirements, where noted**		**Supporting Resources**
What is the process the LEA utilizes to determine all the requirements of the applicable ESEA funding sources (i.e., Gifted Program, Title I-D, Pre-School, Exceptional Student Services, Educator Certification, etc.)? How does the LEA ensure the stakeholder team knows and understands all defined requirements of each ESEA funding source How does the LEA plan to offer stakeholders an opportunity to provide input?	□ Integrated Action Plan □ Evidence of responses to Program Narrative Questions in GME funding application		• Website: Specific Program Requirements • File: Title I-D, Nonregulatory Guidance Handbook

Statutory Citations	Umbrellas	Main Requirement 3
20 U.S.C. 6312 § 1112 20 U.S.C. 6314 § 1114 20 U.S.C. 6322 § 1119 20 U.S.C. 6438 § 1418 20 U.S.C. 6455 § 1425	Programming Students	The LEA has transition plans for applicable groups served by the LEA, including program to program.

Guiding Questions	Required Evidence **Including funding specific requirements, where noted	Supporting Resources
What transition strategies has the LEA found successful? What are the indicators the LEA used to determine those strategies to be successful?	□ Evidence of responses to Program Narrative Questions in GME funding application □ Evidence of transitions □ Enrollment Projections for FY26 by grade level served	• Website: ECAP • File: Neglected-Delinquent Transition Toolkit • Website: Transition to Kindergarten • Website: Transition to Middle School • File: Transition to High School

Statutory Citations	Umbrellas	Main Requirement 4
20 U.S.C. 6312 §1112 20 U.S.C. 6826 § 3116 20 U.S.C. 6436 § 1416 20 U.S.C. 6612 § 2102 20 U.S.C. 6315 § 1115	Policies & Procedures Programming Students	The LEA assures the mandatory requirements of each ESEA funding source will be done.
Guiding Questions	**Required Evidence** **Including funding specific requirements, where noted	**Supporting Resources**
What is the process the LEA utilizes to communicate the assurances with applicable parties? What steps are taken internally to guarantee the assurances are being adhered to at the school level?	□ General Statement of Assurances signed and approved in GME □ Program specific assurances signed and approved in GME	• Assistance Document: General Statement of Assurances Assistance Document

Statutory Citations	Umbrellas	Main Requirement 5
20 U.S.C. 6312 § 1112 42 U.S.C. § 11432	Policies and Procedures Students	The LEA complies with all required parts of the McKinney-Vento Homeless Assistance Act.

Guiding Questions	Required Evidence **Including funding specific requirements, where noted	Supporting Resources
How does the LEA assign an appropriate staff member to serve as the McKinney-Vento Homeless Liaison with sufficient capacity to fulfill all requirements detailed in the McKinney-Vento statute? How does the LEA develop, review, and revise policies and procedures for the identification, immediate enrollment, attendance, and academic success of children and youth experiencing homelessness? How does the LEA ensure that the McKinney-Vento Homeless Liaison actively participates and has an ongoing role in the decision-making process throughout the school year to determine the use of Title I-A set-aside grant funds?	□ McKinney-Vento Homeless Liaison Contact Information accurate on State of Arizona McKinney-Vento Homeless Liaison Contact List □ Dissemination information about the public notice of the educational rights of Homeless Children and Youth (HCY) and Unaccompanied Homeless Youth (UHY) posters in languages and locations that are accessible by those experiencing homelessness □ Implementation of the Arizona Student Residency Questionnaire (SRQ) and the educational rights of HCY in all enrollment tool versions and formats □ Identification & Written notice of eligibility and school placement determination □ Written notice of re-eligibility process and school placement determination □ Data Collection & Record Keeping □ Transportation procedures to school of origin for both inter-district and shared transportation coordination □ Dispute resolution process at both the LEA and SEA levels □ Annual McKinney-Vento staff professional development (including the LEA homeless policy)	• Website: Guidance & Sample Documents for McKinney-Vento Homeless Liaisons

Statutory Citations	Umbrellas	Main Requirement 6	
20 U.S.C. 6312 § 1112 20 U.S.C. 6322 § 1119 20 U.S.C. 6826 § 3116	Policies and Procedures Stakeholder Engagement	LEAs with Title I-A funded preschool programs will adhere to consultation, programming, and/or planning requirements.	
Guiding Questions	**Required Evidence** **Including funding specific requirements, where noted		**Supporting Resources**
What joint professional development has been implemented between the LEA and other entities? What measures are used by the LEA to measure success of the preschool program?	□ Consultation with Arizona Department of Health Services □ Evidence of collaboration between the LEA and other entities carrying out early childhood development programs □ Program evaluation □ Evidence of Daily programming services		• Website: Arizona Early Learning Standards, 4th Edition • File: Non-Regulatory Guidance Early Learning in the ESSA Expanding Opportunities to Support our Youngest Learners

Statutory Citations	Umbrellas	Main Requirement 7	
20 U.S.C. 6312 § 1112 20 U.S.C. 6318 § 1116 20 U.S.C. 6826 § 3116	Policies and Procedures Stakeholder Engagement	The LEA will provide all mandatory parent's rights to information and/or notices in a timely manner, and in a format and language that is understood by parents.	
Guiding Questions	**Required Evidence** **Including funding specific requirements, where noted		**Supporting Resources**
What procedures are in place to ensure each LEA communicates regularly with parents, including disseminating mandatory information? Who is responsible to ensure LEA communications are sent in an understandable format, and to the extent practicable, in a language familiar to parents?	□ Parent's Right to Know Professional Qualifications □ Four Week Letter □ State Assessment scores and Parent's Right to Opt Out □ LEA's District Wide assessment schedule, purpose of assessment, and result information. □ EL Parental Notifications □ Title I-A Meeting □ Dissemination Procedures and information of all mandatory parent's rights to information and/or notices		• Website: English Learner (EL) Forms • Website with Files: Assessment Participation Communication Toolkit

Statutory Citations	Umbrellas	Main Requirement 8	
20 U.S.C. 6314 § 1114	Programming Policies and Procedures Stakeholder Engagement Students	All schoolwide Title I schools, within the LEA, have a plan that includes all required elements.	
Guiding Questions	**Required Evidence** ****Including funding specific requirements, where noted**		**Supporting Resources**
How does the LEA oversee each school's schoolwide plan implementation and evaluation?	☐ Schoolwide Program Plan ☐ Evaluation Process for Schoolwide Program Plan including data sources		• File: Supporting School Reform by Leveraging Federal Funds in a Schoolwide Program • Assistance Document: FY25 Schoolwide Program Plan (Pilot) Template

Statutory Citations	Umbrellas	Main Requirement 9	
20 U.S.C. 6315 § 1115	Programming Policies and Procedures Students Stakeholder Engagement	All targeted assistance Title I schools, within the LEA, have a plan that includes all required elements.	
Guiding Questions	**Required Evidence** ****Including funding specific requirements, where noted**		**Supporting Resources**
How does the LEA oversee each school's targeted assistance plan implementation and evaluation?	☐ Targeted Assistance Program Plan ☐ Rank Order List ☐ Title I Targeted Assistance Staff Documentation, which includes: 　○ List of Staff 　○ Job Description of Staff 　○ Schedule ☐ Evaluation Process for Targeted Assistance Program Plan ☐ Evidence of responses to Program Narrative Questions in GME funding application		• Assistance Document: Targeted Assistance Plan (Pilot) Template

Statutory Citations	Umbrellas	Main Requirement 10
20 U.S.C. 6318 § 1116	Stakeholders Policy and Procedures	Each LEA shall maintain a written parent and family engagement policy that is, jointly developed, agreed upon and distributed to parents and family members of students participating in Title I programs or services.

Guiding Questions	Required Evidence **Including funding specific requirements, where noted	Supporting Resources

Who is the responsible person(s) at the LEA level to ensure Parent and Family Engagement is taking place at each LEA? What are the duties and responsibilities related to this?
 	
What methods are used to inform parents and families of the LEA Parent and Family Engagement policy evaluation and encourage participation?
 	
How is the data from the evaluation analyzed?
 	
Who are the stakeholders involved in using the data to evaluate and revise the LEA's Parent and Family Engagement Policy?
	□ Policy includes descriptions of the following:
	   o LEA support of all participating schools to assist and build their capacity in planning and implementing effective parent and family engagement activities
	   o Identification of barriers and needs of parents and families to participate and implement activities to support interactions between the school and home
	   o Plan for distribution of the policy in a format and language that is understood by parents
	   o Submission of parental comments to the LEA
	   o Evaluation of policy
	   o Description of how the LEA coordinates with the community at large to help plan and participate in family engagement activities.
	□ Information Distribution Details
		• Website: Title I Parental Involvement Toolkit
		• Assistance Document: Information Distribution

Statutory Citations	Umbrellas	Main Requirement 11
20 U.S.C. 6318 § 1116 20 U.S.C. 6455 § 1425	Policies & Procedures Stakeholder Engagement Students	School level plan for building capacity for parental involvement, including how to understand and monitor student's academic achievement and performance, training and materials for parents to work with their children on academics, channels of communication, and a School-Parent Compact which lead to supporting children's academic success.

Guiding Questions	Required Evidence **Including funding specific requirements, where noted	Supporting Resources

When was the school-level Parent and Family engagement plan, including the school parent compact, reviewed and discussed by the LEA with staff?
 	
What percentage of parents/families attended the Title I Annual meeting?
 	
What information/data was used to inform the selection of the meeting dates and times for the Title I Annual Meeting?
	□ School level Parent and Family Engagement Plan which includes:
	  o Plan for distribution of the policy in a format and language that is understood by parents
	  o Description of curriculum and assessments used at school to measure student progress and the achievement levels of state academic standards
	  o Opportunities for parent & family involvement at the school, i.e., PTO, Site Council, literacy night, STEM night, etc.
	  o Importance of communication between the school and home and the methods of communication available
	  o School-Parent Compact
	  o Submission of parental comments to the school
	  o Evaluation of school level plan
	Note: If LEA is a single site district, the district wide Parent and Family Engagement policy can be amended to include requirements for both the district level and school level plans.
	□ Annual Title I Meeting
	  o Multiple meeting options available
	  o Inform parents of their student's participation under Title I-A and explain the requirements of Title I-A
	□ Institutional Parent Involvement Plan (Title I-D)
	□ Information Distribution Details
		• Website: [National Center on Safe Supportive Learning Environments](#)
		• Website: [21st CCLC Family Engagement](#)

Statutory Citations	Umbrellas	Main Requirement 12	
20 U.S.C. 6318 § 1116 20 U.S.C. 6825 § 3115 20 U.S.C. 6455 § 1425	Policies & Procedures Stakeholder Engagement	The LEA provides training and support to build the capacity of parents and families to support their students.	
Guiding Questions	**Required Evidence** **Including funding specific requirements, where noted		**Supporting Resources**
What comments were received by the LEA from parents and how were those incorporated in the decisions of parent and family engagement activities sponsored by the LEA? What ongoing opportunities or activities are offered to parents & families of ELs to assist them in helping their children improve their academic achievement?	☐ Parent and Family Engagement Activities & Events Title II-A: Parent, family, & community engagement activities to help support ELs		• File: Strategies for Equitable Family Engagement • File: Project Appleseed Family Engagement Activities Handbook

Statutory Citations	Umbrellas	Main Requirement 13
20 U.S.C. 6612 § 2102 20 U.S.C. 6612 § 2103 20 U.S.C. 6825 § 3115	Programming Policies and Procedures Students	Professional development is provided to staff ensuring topics align with the needs of students, including mandatory trainings.

Guiding Questions	Required Evidence **Including funding specific requirements, where noted	Supporting Resources

How does the LEA support educators with professional development practices related to student subgroups?
 	
What data was used to determine the professional development provided to enhance staff support of English Learners?
	☐ Documentation with the following:
	  o Data utilization/analysis
	  o Consultation with stakeholders
	  o Coordination with other programs, including state mandatory trainings
	  o PD offerings (content/topic)
	  o Identify targeted populations
	  o Dates
	  o Attendees
	  o Alignment to plan
	
	Title II-A: Professional development to support parent and family engagement
	Title III-A: Professional development to support EL student growth
		• File: ESSA Definition of Professional Development resource
		• Assistance Document: Professional Development Tracker

Statutory Citations	Umbrellas	Main Requirement 14
20 U.S.C. 6612 § 2103	Policies and Procedures Programming	The LEA has a staff evaluation and support procedure that is based on comprehensive needs assessment and data analysis which includes retention and recruitment of effective teachers.
Guiding Questions	**Required Evidence** ****Including funding specific requirements, where noted**	**Supporting Resources**
What is the procedure for determining frequency of observations and who is involved in completing observations of staff? What does follow up after an observation entail? What methods are being utilized to retain effective teachers? What methods are being used to recruit effective teachers? What is the success rate of each method?	□ Observation Tool and Procedures □ Evaluation Tool and Procedures □ Recruitment and Retention Plan □ ADE Teacher Input Application requirements fulfilled	• File: Teacher Input Application: LEA Support Guide • Website: Educator Recruitment & Retention Repository

Statutory Citations	Umbrellas	Main Requirement 15	
20 U.S.C. 6825 § 3115	Programming	Each LEA receiving Title III-A funds are required to provide supplemental programming and services to assist English Learners to achieve English Proficiency and increase academic achievement.	
Guiding Questions	**Required Evidence** ****Including funding specific requirements, where noted**		**Supporting Resources**
What data was used to determine the supplemental programs and services provided to English Learners? What is the data analysis process that will take place for the budgeted items throughout the year? How is effectiveness determined?	□ List of budgeted items □ Data reports/type used to determine budget uses		• Website: Title III: Federal Fiscal Guidance for English Learner (EL) Programs • Website: English Learner Tool Kit

Statutory Citations	Umbrellas	Main Requirements 16	
20 U.S.C. 6436 § 1416 20 U.S.C. 6455 § 1425 20 U.S.C. 6471 § 1431	Programming Students Policies & Procedures	Each LEA receiving Title I-D funds are required to provide supplemental programming and services for neglected or delinquent children and youth needed to make a successful transition from institutionalization to further schooling or employment.	
Guiding Questions	**Required Evidence** ****Including funding specific requirements, where noted**		**Supporting Resources**
	☐ Evidence of responses to Program Narrative Questions in GME funding application		• Website: National Technical Assistance Center for the Education of Neglected or Delinquent Children and Youth

Possible Evidence Documentation

In this Guidance Handbook there are Supporting Resources to assist an LEA in finding more specific information about the main requirement. The below table is a list of example evidence that an LEA may collect to demonstrate compliance with each requirement. The list is not exhaustive and not all the listed documents have to be submitted.   Individual LEAs will determine which documentation is feasible to provide sufficient evidence for compliance with each requirement

#	Main Requirement	Agenda	Minutes	Participants	Advance Notices	Data Analysis	Presentations	Materials	Survey/Feedback	Copy of Revisions	Sign In Sheets	Student Attendance Lists	Program specific mandatory documentation	Student Specific Communications with Parents
1	The LEA must develop, review, and revise a plan to utilize ESEA funding in consultation with stakeholders and in coordination with other programs.	X	X	X	X	X	X	X	X	X	X		X	
2	The LEA plan to utilize ESEA funding must include descriptions of how the LEA intends to fulfill requirements of each ESEA funding source.	X	X	X	X	X	X	X	X	X	X			
3	The LEA has transition plans for applicable groups served by the LEA, including program to program.				X	X	X			X		X	X	
4	The LEA assures the mandatory requirements of each ESEA funding source will be done.	X	X	X	X	X	X	X	X	X	X	X	X	X
5	The LEA complies with all required parts of the McKinney-Vento Homeless Assistance Act	X		X	X	X	X	X	X		X	X	X	X
6	LEAs with Title I-A funded preschool programs will adhere to consultation, programming, and/or planning requirements.	X	X	X	X	X	X	X	X	X	X	X	X	X
7	The LEA will provide all mandatory parent's rights to information and/or notices in a timely manner, and in a format and language that is understood by parents.	X	X	X	X		X	X	X	X	X		X	X
8	All schoolwide Title I schools, within the LEA, have a plan that includes all required elements.	X	X	X	X	X	X	X	X	X			X	X
9	All targeted assistance Title I schools, within the LEA, have a plan that include all required elements.	X	X	X	X	X	X	X	X	X		X	X	X
10	Each LEA shall maintain a written parent and family engagement policy that is, jointly developed, agreed upon and distributed to parents and family members of students participating in Title I programs or services.	X	X	X	X	X	X	X	X	X	X			

#	Description													
11	School level plan for building capacity for parental involvement, including how to understand and monitor student's academic achievement and performance, training and materials for parents to work with their children on academics, channels of communication, and a School-Parent Compact which lead to supporting children's academic success.	x	x	x	x	x	x	x	x	x	x		x	x
12	The LEA provides training and support to build the capacity of parents and families to support their students.	x		x	x	x	x	x	x		x			x
13	Professional development is provided to staff ensuring topics align with the needs of students, including mandatory trainings.	x		x	x	x	x	x	x		x		x	
14	The LEA has a staff evaluation and support procedure that is based on comprehensive needs assessment and data analysis which includes retention and recruitment of effective teachers.	x	x	x	x	x	x	x	x	x	x		x	
15	Each LEA receiving Title III-A funds are required to provide supplemental programming and services to assist English Learners to achieve English Proficiency and increase academic achievement.	x	x	x	x	x	x	x	x	x			x	x
16	Each LEA receiving Title I-D funds are required to provide supplemental programming and services for neglected or delinquent children and youth needed to make a successful transition from institutionalization to further schooling or employment.	x	x	x	x	x	x	x	x	x	x	x	x	x

Umbrella Descriptions

Stakeholder Engagement   Policies and Procedures   Students   Programming

Stakeholder Engagement Umbrella

The Stakeholder Engagement umbrella covers all required items related to the meaningful and equitable engagement of students, families, and community members for the purpose of informing, planning, and evaluating services and programming implemented by the entity.

This includes:
- Programs, procedures, practices, and activities that impact or involve stakeholders
- Parent/guardian participation in their child's educational, extracurricular, and social-emotional progress
- Student participation in their own educational, extracurricular, and social-emotional progress
- Inclusion of stakeholder input and opportunities to participate in and support entity programming
- Data collection, implementation methods, activities to reflect stakeholder perspective
- Communication with stakeholders to ensure they are informed

Policies and Procedures Umbrella

The Policies and Procedures umbrella covers all local education agency approved policies, procedures, and written plans that describe internal processes to ensure fulfillment of requirements as mandated by U.S. Department of Education and/or Arizona Department of Education and as is stated in statute as the purpose of funding.

This includes:
- Governing board policies
- Evidence of assurances being upheld

- Documentation of requirements in statute
- Written internal plan(s) detailing the responsible personnel, process (i.e. sequential steps to be taken), timeline, and related documents necessary to ensure fulfillment of requirement(s)
- Written internal plan(s) to evaluate successful fulfillment of the intended purpose of activities or utilized funding

Students Umbrella

The Students umbrella covers all required items related to programs, processes, and services intended to ensure ALL children are provided significant opportunities to receive a fair, equitable, and high-quality education by closing educational achievement gaps and ensuring all students are college and career ready.

This includes:
- Methods of identifying students eligible to receive services or participate in planned programming based on their needs
- Plan to ensure strong and effective implementation of services, programming, and transitions between or across educational programs
- Methods to evaluate program or service impact and success
- Development and utilization of assessment system to track and measure service or program impact and success
- Data to be gathered and utilized to evaluate and address effectiveness of programming through the duration of the program
- Plan to monitor and adjust based on assessment of progress of students towards goals
- Planned professional development based on student needs and programming
- Other evidence used to demonstrate impact of service or program on the successful closing of educational achievement gaps

Programming Umbrella

The Programming umbrella covers all required items related to the selection, development, planning, coordination, and implementation of programs and services by the entity over the lifetime of the grant.

This includes:
- Selection of program/model types
- Selection of supplemental programming
- Application of collected data to plan effective programming
- Planning process and development of an implementation plan
- Coordination with other programs and/or services
- Determined source, tracking system, and intended application of data to be collected overtime
- Evaluation of program or service outcomes to inform further implementation
- Implementation and evaluation timelines

Correlation between Main Requirements and ESEA Funding Source

This chart is to assist LEAs in connection with which Main Requirements are statutorily mandated by each of the title funding sources that are included in ESEA Programmatic Monitoring.

✓ =required with acceptance of Title funds

#	Main Requirement	TITLE			
		I-A	I-D	II-A	III-A
1	The LEA must develop, review, and revise a plan to utilize ESEA funding in consultation with stakeholders and in coordination with other programs.	✓	✓	✓	✓
2	The LEA plan to utilize ESEA funding must include descriptions of how the LEA intends to fulfill requirements of each ESEA funding source.	✓	✓	✓	✓
3	The LEA has transition plans for applicable groups served by the LEA, including program to program.	✓	✓		✓
4	The LEA assures the mandatory requirements of each ESEA funding source will be done.	✓	✓	✓	✓
5	The LEA complies with all required parts of the McKinney-Vento Homeless Assistance Act	✓	✓	✓	✓
6	LEAs with Title I-A funded preschool programs will adhere to consultation, programming, and/or planning requirements.	✓			✓
7	The LEA will provide all mandatory parent's rights to information and/or notices in a timely manner, and in a format and language that is understood by parents.	✓	✓	✓	✓
8	All schoolwide Title I schools, within the LEA, have a plan that includes all required elements.	✓			
9	All targeted assistance Title I schools, within the LEA, have a plan that include all required elements.	✓			
10	Each LEA shall maintain a written parent and family engagement policy that is jointly developed, agreed upon, and distributed to parents and family members of students participating in Title I programs or services.	✓			
11	School level plan for building capacity for parental involvement, including how to understand and monitor student's academic achievement and performance, training and materials for parents to work with their children on academics, channels of communication, and a School-Parent Compact which lead to supporting children's academic success.	✓	✓	✓	✓
12	The LEA provides training and support to build the capacity of parents and families to support their students.	✓	✓	✓	✓
13	Professional development is provided to staff ensuring topics align with the needs of students, including mandatory trainings.	✓	✓	✓	✓
14	The LEA has a staff evaluation and support procedure that is based on comprehensive needs assessment and data analysis which includes retention and recruitment of effective teachers.	✓		✓	
15	Each LEA receiving Title III-A funds are required to provide supplemental programming and services to assist English Learners to achieve English Proficiency and increase academic achievement.				✓
16	Each LEA receiving Title I-D funds are required to provide supplemental programming and services for neglected or delinquent children and youth needed to make a successful transition from institutionalization to further schooling or employment.		✓		