

Required Documentation for Federal Programs



Working Together for Student Success

Required Documents for Title I, II, III and/or Special Education

- Parent Involvement (Title I)
- Compact (Title I)
- Complaint Procedure (Title I)
- Highly Qualified Paraprofessional (Title I, III)
- Homeless Student Reservation (Title I)
- LEA Affirmation of Head Start Coordination Form (Title I) * **NEW 2018**
- Supplement not Supplant Methodology (Title I) ***New 2018**
- Non-Public School Consultation (Title I, II, III, Sp. Ed.)
- UGG Written Processes (Title I, II, III, Sp. Ed.)
- Federal Equipment and Technology Inventory (Title I, II, III, Sp. Ed.)
- Personnel Expenses (Title I, II, III, Sp. Ed.)



Title I Annual Meeting

- Title I schools must convene an **Annual Title I meeting early in the school year** and at a convenient time, to which ***all parents of participating children*** shall be invited and encouraged to attend.
- The purpose of the meeting is to inform parents of their school's participation under Title I, to explain the requirements of Title I and discuss the right of the parents to be involved in their children's education.

Required Documentation:

- *Meeting announcement (e.g., flyer, newsletter, email)*
- *Sign-in sheet (parent signatures of those in attendance)*
- *Dated agenda (August-October)*



Title I LEA Parent Involvement Policy

- Each Local Educational Agency (LEA) must develop and distribute to parents a written LEA parent involvement policy that explains how the LEA will support the Title I schools in the involvement of parents in the education of their children.

Required Documentation:

- *A policy that contains required components and is **specific to the LEA**.*
- *Parent participation in the **annual revision** (e.g., sign-in sheets, meeting minutes).*
- *Policy must be in a **language that parents can understand** (e.g., translated/parent friendly).*
- ***Annual distribution** (e.g., mailing receipt, parent signatures or a combination of both).*
- ***Annual evaluation** to determine effectiveness (e.g., survey, policy revisions, meetings held to discuss, agenda, sign-in sheets).*



Title I School Parent Involvement Policy

- Each Title I school must develop, jointly with parents, a **written school parent involvement policy** that explains how the school will support the involvement of parents in the education of their children.

Required Documentation:

- *A policy that contains required components and is **specific to the school**.*
- *Parent participation in the **annual revision** (e.g., sign-in sheets, meeting minutes).*
- *Policy must be in a **language parents can understand** (e.g., translated/parent friendly).*
- ***Annual distribution** (e.g., mailing receipt, parent signatures or a combination of both).*
- ***Annual evaluation** to determine effectiveness (e.g., survey, policy revisions, meetings held to discuss, agenda, sign-in sheets).*

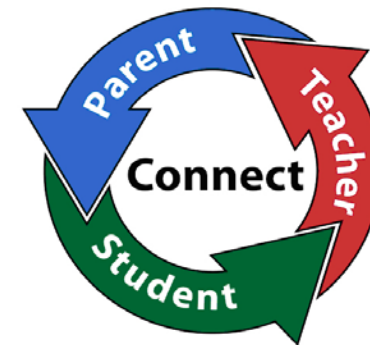


Title I School-Parent Compact

- Each Title I school must develop and distribute a **written school-parent compact** to outline the respective responsibilities of the school staff, parents and students for raising student achievement. Signatures are not required, but would be considered best practice.

Required Documentation:

- *School-Parent Compact that contains the **required components** and is specific to the school.*
- *Parent participation in the **annual revision** (e.g., sign-in sheets, meeting minutes).*
- *Compact must be in a **language parents can understand** (e.g., translated/parent friendly).*
- ***Annual distribution** (e.g., mailing receipt, parent signatures or a combination of both).*
- ***Annual evaluation** to determine effectiveness (e.g., survey, revisions, agenda, sign-in sheets).*



Title I Parents' Right-to-Know Letter

- The Parent's Right to Know letter notifies parents that they have the right to request and receive information regarding the professional qualifications of their child's classroom teacher.

Schools will no longer be required to provide notice to parents related to the highly qualified status of their child's teacher, if the non-highly qualified teacher has taught for four or more consecutive weeks in a classroom. Section 1111(h)(6)(B)(ii) of the ESEA

Required Documentation:

- *Copy of dated Parents' Right-to-Know letter.*
- *Documentation of **distribution** to all families in Title I schools*
- *(e.g., mailing receipt or parent signatures or a combination of both*



Let's Review

Required documentation for parents:

- ✓ LEA Parent Involvement Policy
- ✓ School Parent Involvement Policy
- ✓ Compact Agreement
- ✓ Parent's Right To Know Letter

Evidence needed to show 100% distribution:

- ✓ Parent signatures
- ✓ Mailing receipt
- ✓ A combination of both



Title I Homeless Student Reservation

- All LEAs that receive Title I, A funds **must reserve** (set-aside) the funds necessary to provide homeless children services comparable to services provided in Title I, A schools, whether or not they live in a Title I school attendance area or meet the academic standards required of other children for eligibility.

Required Documentation:

- [Homeless Reservation Template](#) that outlines the method used to determine a reasonable Title I set-aside attached to the Title I application.
 - ✓ Off- the-top district reservation - may be determined by a needs assessment and should involve the Homeless Education Liaison.
 - ✓ Title I Application can not be reviewed or approved without the template attached to the grant on the Summary page.
 - ✓ A link to the template is found in the Title I Application, on the Learning Connection and on the IDOE website.



LEA Affirmation of Consultation with Non-Public School Officials

Specific coordination activities outlined include:

- Discussions with non-public school officials should begin in the spring
- LEA should discuss available services
- The non-public school should be able to prove students eligibility
- If a non-public school outside your LEA boundaries has eligible students, work with your federal grant's specialist in transferring the funds.
- The states Ombudsman is available as a resource.

Required Documentation:

- ✓ [LEA Affirmation of Head Start Coordination form](#) to be completed and signed by the LEA and the Non-public School Official. The signed copy **must** be attached to the Title I grant application.
- ✓ The LEA will maintain a signed copy of the coordination form with the non-public school in its files.



LEA Affirmation of Coordination with Head Start

Specific coordination activities outlined include:

- Receiving & transferring children's records, enrollment, parent communication;
- Establishing channels of communication between school staff & Head Start staff;
- Conducting parent meetings with Head Start teachers & kindergarten or elementary school teachers;
- Organizing & participating in joint transition-related training of Head Start staff, school staff, & early childhood education staff, as appropriate; and
- Linking LEA educational services with Head Start agency services

NEW! Required Documentation:

- ✓ [LEA Affirmation of Non-Public Schools Consultation form](#) to be completed and signed by the LEA and Head Start Grantee. The signed copy **must** be attached to the Title I grant application.
- ✓ The LEA will maintain a signed copy of the coordination form and a copy of the MOU with Head Start in its files.



Supplement not Supplant Methodology

IDOE will recognize the following methodologies the LEAs may select from during the demonstration process:

- Distribution of State and local (non-Federal) resources based on the characteristics of the students (PPE);
- Distribution of State and local (non-Federal) resources based on staffing and supplies
- Distribution of State and local (non-Federal) resources based on a combined approach
- Other, as adopted by the LEA

NEW! Required Documentation:

To ensure all LEAs in Indiana meet these requirements, each LEA is **required** to attach the following to their 2019 Title I grant:

- a) An assurance stating the LEA is in compliance with the provisions of section 1118(b) of the ESSA;
- b) An indication of the type of methodology the LEA has adopted and is implementing in regard to the allocation of State and local (non-Federal) funds to all schools; and,
- c) A narrative description of the methodology or a reference to the LEA's Financial Transparency document in which the methodology is described.



Let's Review

Required documentation for 2019 Title I Grant:

- ✓ Homeless Reservation Template
- ✓ LEA Affirmation of Non-Public School Consultation
- ✓ LEA Affirmation of Coordination with Head Start Agreement
- ✓ Supplement not Supplant Methodology



Title I Complaint Procedure Policy

- LEAs are required to disseminate to parents written information about receiving and resolving any complaint from an organization or individual that the State, LEA or other agency is violating a federal statute or regulation that applies to the Title I, Part A program,.

Required Documentation:

- ***Written complaint procedure*** that outlines a formal process for handling parent complaints.
- *May be made available to the parents through the LEA and/or school website, LEA or school office, and/or school handbook.*

The image shows a sample complaint form titled "COMPLAINT". The form is orange and white. It has several sections: "TO:" with fields for NAME, ADDRESS, and CITY; "WHOSE FAULT:" with checkboxes for STATE, LEA, and SCHOOL; "DESIRED OUTCOME:" with checkboxes for POLICY, EXPLANATION, LITIGATION, PROMOTION, and RESTORATION; and "COMPLAINANT:" with a checkbox for ANONYMOUS. There are also several horizontal lines for writing.



Highly Qualified Requirements

NEW! Certified Teachers-

- Under ESSA, teachers must be licensed and certified only as required by applicable State law, including the State's charter school law. Previously under NCLB, LEAs needed to ensure that their teachers met requirements governing Highly-Qualified Teachers (HQTs); therefore,
- Highly Qualified Teacher Verification forms are no longer required under ESSA.

NOT NEW! Instructional Paraprofessionals in Title I Schools-

- Will maintain the qualifications required under NCLB
- Instructional paraprofessional must be HQ at the time of hire.
 - ✓ All Title I funded instructional paras in a TAS must be HQ.
 - ✓ All instructional paras in a SWP must be HQ, regardless of funding source.
- Evidence of HQ status must be kept in the paraprofessional's file.

Required HQ Documentation for Paraprofessionals:

- *Secondary school diploma; and*
- *College transcripts (2 years of study); or*
- *Para Pro Exam with passing score of 460 or higher*



Uniform Grant Guidance (UGG) Written Processes

Written Cash Management Procedures

- LEAs must have written cash management procedures to implement internal control requirements found in the Uniform Grants Guidance. 2CFR 200.305

Required Document:

- *Written procedures that show how the LEA monitors cash drawdowns of federal funds to ensure that the time elapsing between the transfer of funds and their disbursement for program purposes is minimized.*
- *The written procedure will include the LEA's process for reimbursement of federal funds and the staff responsible for the completion of the process.*



Uniform Grant Guidance (UGG) Written Processes

Written Allowability Procedures

- LEAs must have written procedures that determine allowability of costs. Procedures should explain the process used throughout the development and budget process for all federal grants that is specific to the LEA. 2CFR 200.403

Required Documentation:

- *Written procedures that explain how cost principles are implemented at the LEA.*
 - ✓ *Procedures can not restate the Uniform Guidance, but should explain the process LEA uses throughout grant and budget development.*



Federal Equipment and Technology Inventory

- All LEAs must have a list of equipment and technology purchased with federal funds that includes the required components. Supplies are not included on the inventory. Books, software and educational apps are considered supplies.
 - ✓ Equipment - items with a shelf life of over a year and without a computer chip
 - ✓ Technology - items with a computer chip or used with a device that has a computer chip (including accessories for printing and transmitting)

Required Documentation:

- *Must include the **ten required components**.*
- *Must be tagged and located where indicated on the inventory.*
- ***Educational games and books** purchased with federal funds must be **labeled** with the federal fund with which it was purchased (though not included on inventory).*
- *Conduct **physical inventory** of all equipment and technology at least once every two years (e.g., signed report)*



Documentation for Personnel Expenses

Program Activity Reports (PARS) or Time and Effort Logs:

- If an employee works on multiple activities or cost objectives, a distribution of the employees' salary must be supported by a personnel activity report (PAR) or Time and Effort log. Exceptions: contractors or those employees who are paid on a stipend.

Required Documentation:

- *Personnel Activity Reports (PARS or Time and Effort Log)*
 - ✓ *Reflect an after-the-fact distribution of the actual activity of the employee*
 - ✓ *Account for the total activity for which employee is compensated;*
 - ✓ *Prepared at least monthly and coincide with one or more pay periods*
 - ✓ *Signed by the employee.*



Documentation for Personnel Expenses

Semi-Annual Certification

- If an employee works solely on a single federal program or cost objective (activity), charges for the employee's salary and wages must be supported by periodic certifications that the employee worked solely on that program or cost objective for the period covered by the certification. *It is possible to work on a single cost objective (activity) even if an employee works on more than one federal award or a federal award and a non-federal award.*

Those certifications must—

- ✓ Be prepared at least semi-annually (every six months).
- ✓ Signed by the employee or supervisory official having firsthand knowledge of the work performed.

Required Documentation:

- *Semi-annual certification completed 2X per year after services have been provided by the employee that works on a single cost objective or activity.*



English Learners/Title III

IDOE is required to monitor LEAs through:

- On-site monitoring
- Desktop Monitoring
- Fiscal Monitoring

All the information about the documentation the corporation needs to keep for monitoring can be found on:

- *Learning Connection: IDOE – Title III and NESP (English Learners) community/Files and Bookmarks/2017-2018 Monitoring, or*
- *on the IDOE website <https://www.doe.in.gov/elme>*



Original Home Language Survey (HLS)

Required Documentation:

- ✓ *Description of HLS administration procedures*
- ✓ *Process for ensuring parents fully understand the intent of the HLS*

- *HLS is administered ONCE in any student's life*
- *Only to first-time **IN** enrollment and **Kindergarten** enrollment*
- *Required three questions for screening*
- *Kept in student cumulative folders of **all** students in the corporation, regardless of native language*

*For comprehensive information, visit IDOE website for the **EL Handbook***
<https://www.doe.in.gov/elme/english-learner-policy-and-guidance>



Migrant Work Survey

- ✓ *Process for ensuring parents fully understand the intent of the survey (to provide various services to eligible students and their families irrespective of their legal status) Title I, Part C Migrant Education Program (MEP) of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001, supports high quality education programs for migratory children (ages 3-21) and helps ensure that migratory children who move among the states are not penalized in any manner by disparities among states in curriculum, graduation requirements, or state academic content and student academic achievement standards.*
- Administered **EVERY YEAR** to **ALL** enrolling students
- Updated survey is kept in ALL students' files

Migrant Work Survey can be found at:

<https://www.doe.in.gov/sites/default/files/elme/work-survey-essa-updated-04-25-17.pdf>

Migrant Program website: <https://www.doe.in.gov/elme/migrant-101>



Title III: English Language Proficiency Assessments

W-APT and WIDA Screener:

- ✓ *Description of the screening process from registrars, EL staff*
- ✓ *W-APT/Screener scores must be kept in EL students' cumulative files*

WIDA ACCESS Annual Assessment:

- ✓ *Description of district and school policies that ensure all ELs are assessed as required*
- ✓ *Evidence that all ELs participated in WIDA ACCESS (AMS testing logs, WIDA score reports)*

All:

- ✓ *List of test administrators*
- ✓ *Documentation of training credentials for licensed staff (W-APT, Screener, ACCESS) who administer the test*



Title III: Parental Notification

Title I requires that parents be notified of their student's participation in an EL program. This is to be completed within 30 days of the start of the school year or within 2 weeks if the student enrolled later in the year. The letter must include the right to opt out of EL services (but not WIDA ACCESS assessment)

✓ *Maintain documentation that notification occurred*

Sample letter can be found on *Learning Connection: IDOE – Title III and NESP (English Learners) community/Files and Bookmarks/Compliance Forms.*



Title III: Provision of Services

District and school will need to provide a description of the mandated EL programming that must be provided with state and local funds.

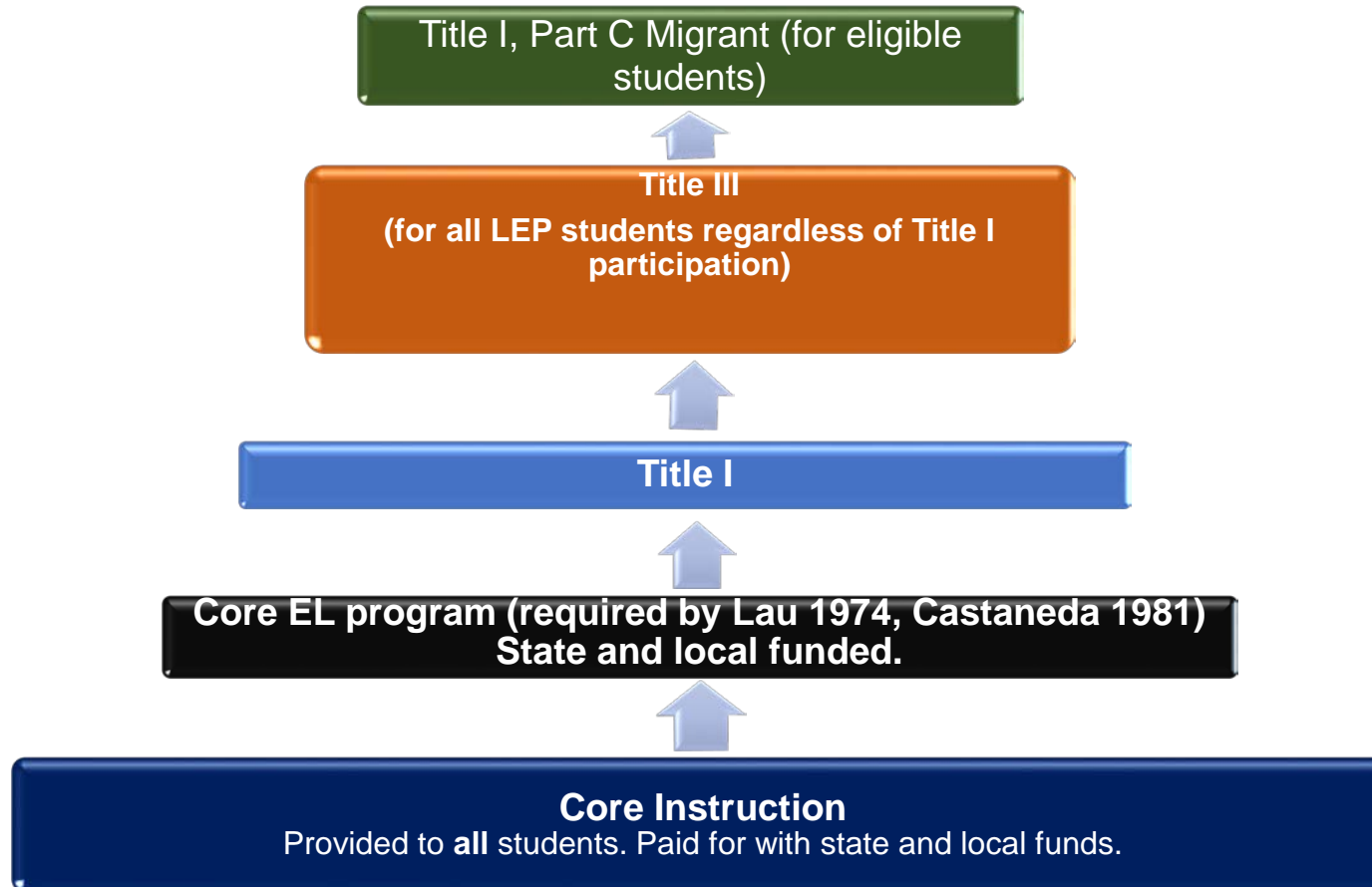
Title III funds must be documented as supplemental to the core EL program

Submitted to IDOE either through Title III application (for the LEAs participating in Title III), or through yearly submission of the LEA's EL Plan (for LEAs not participating in Title III).

*For comprehensive information, visit IDOE website for the **EL Handbook***
<https://www.doe.in.gov/elme/english-learner-policy-and-guidance>



Title III: EL Programming and Supplement, not Supplant



Title III: WIDA Standards Implementation

Evidence that the LEA or school provides high-quality language instruction educational programs that are based on scientifically based research and linked to the state **WIDA Standards**.

- ✓ *Written plan for implementation of WIDA Standards; process, and approach for developing English language development (ELD) and content curriculum*
- ✓ *Evidence of general education teachers being trained in WIDA Standards (e-mails, agendas, sign-in sheets, etc.)*



Monitoring of FEP Students

Formal two-year monitoring period begins when a student attains proficiency (Level 5) on the annual WIDA ACCESS Assessment.

- ✓ *List of students in monitoring*
- ✓ *Monitoring forms and documentation*

Must be kept in EL students' cumulative files

Sample forms can be found on *Learning Connection: IDOE – Title III and NESP (English Learners) community/Files and Bookmarks/Compliance Forms/Monitoring.*



Retention of EL Students

Retention of ELs shall not be based solely upon level of English language proficiency (Section I, Part G, Guidelines to Satisfy Legal Requirements of Lau v. Nichols).

- ✓ *Written LEA or school retention policy*
- ✓ *Documentation of decision making for any EL students retained in any grade by the corporation*

See **EL Handbook** for specific instructions:

<https://www.doe.in.gov/elme/english-learner-policy-and-guidance>



Referral to Special Education

Evidence that the process used to make referrals to **special education** for ELs is appropriate and that students dually identified students have access to services in both programs. Provide evidence that the referral to special education services decision was not based on language proficiency.

- ✓ *Written LEA or school referral policy for EL students regarding evaluation for a disability following Article 7 “Policies, Procedures, and Practices”*
- ✓ *Documentation supporting the referral decision*
- ✓ *List of ELs referred to special education*
- ✓ *Evidence of provision of **language development** services*

See **EL Handbook** for specific instructions:

<https://www.doe.in.gov/elme/english-learner-policy-and-guidance>



Evidence of Consultation with Non-Public Schools

An LEA is **required** to provide timely and meaningful consultation to every nonpublic school within their geographic area, **prior** to the submission of the Title III application. This **includes** nonpublic schools that do not have EL enrollment reported on the DOE-LM for 2017-2018.

- ✓ *Records of a nonpublic school's desire to participate or not participate in the Title III program should be kept on file at the LEA for IDOE monitoring purposes.*
- ✓ *Both the LEA and non-public schools retain the copy of the consultation form*



EL Student Cumulative Folder

Required Documentation:

- ✓ Original Home Language Survey (HLS)
- ✓ Current Individual Learning Plan (ILP)
- ✓ Current copy of the parent notification letter
- ✓ A copy of the English language proficiency assessment results
- ✓ ISTEP + scores
- ✓ Exiting/Monitoring documents for students in the two-year monitoring period
- ✓ If the parents refuse services, a copy of that document should be included in the cumulative folder
- ✓ A log of updates, this should include the date and the name of the person who updated the folder



Title III: EL Parent Involvement

Evidence that the LEA promotes **participation of parents** of EL students in their children's education in order to help English learners to improve their academic achievement. This is a required component of receiving Title III funds.

- ✓ *Documentation (e.g., announcements, parent letters, brochures, meeting agendas, parent classes) of parent outreach programs specifically designed for EL parents*
- ✓ *Parent meeting or class sign-in sheets*



Title III Professional Development

Professional Development provided to teachers of English learners is a required component of receiving Title III funds.

- ✓ *Evidence of professional development events offered (sign-in sheets, purchase orders, PD events approvals, e-mails, samples of PD materials, etc.)*



Title III: Language Minority (LM) Data Collection

LM is our annual count in November of ***all*** students with a language code other than English (211) or those who qualify as an immigrant student. EL funding (NESP, Title III) is dependent on this count.

- ✓ *Process outline of LM reporting process and procedures*
- ✓ *Documentation of school, district data reporting processes*



Resources

- **Title I Parent Involvement Resources:**

- ✓ <http://www.doe.in.gov/titlei/resources-%E2%80%93pd-ppts-guidance-swp-tas-parent-involvement-etc>

- ✓ *Learning Connection > IDOE Title I > [Files and Bookmarks](#) / [Parent Involvement](#) / Templates, Samples and Resources*

- **Title III State Sample Notification Letter:** *Learning Connection/IDOE – Title III and NESP (English Learners) community/Files and Bookmarks/IDOE – Parent Notification Letter.*

- **Homeless Reservation Template:**

- ✓ <http://www.doe.in.gov/sites/default/files/titlei/2017-2018-title-i-homeless-reservation-template.pdf>

- ✓ *[Learning Connection / IDOE Title I Community / Files and Bookmarks](#) / No Reply Email Notifications and Memos*



Resources

- **Uniform Grant Guidance Resources:**
 - ✓ [Learning Connection > IDOE Title I > Files and Bookmarks](#) / **NEW* Uniform Grant Guidance*
- **Resources for the Federal Equipment and Technology Inventory and Personnel Expenses:**
 - ✓ [Learning Connection / IDOE Title I Community /Files and Bookmarks / Fiscal Information \(Supplement/Supplant, Final Allocations, Fiscal Handbook, etc.\) / Templates, Samples and Resources](#)
- **Title III Resources:**
 - **Learning Connection - Title III and NESP (English Learners)à Files and Bookmarks**
 - [IDOE English Learning and Migrant Education Website](#)

