

**Monitoring Indicators for Title I, Part D Program  
Standards, Assessment, and Accountability**

<b>1.1: The SEA conducts monitoring and evaluation of its subgrantees sufficient to ensure compliance with Title I, Part D program requirements and progress toward Federal and State program goals and objectives. [§§1426 and1431]</b>		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable SA/LEA Evidence</b>
<p><u>Questions:</u></p> <ul style="list-style-type: none"> <li>▪ How does the SEA ensure that students in Title I, Part D programs receive instruction that is aligned with state standards and accountability?</li> <li>▪ What is the SEA process for monitoring Subpart 1 and 2 programs from selection and notification to reporting and corrective action follow-up?</li> <li>▪ What is the process for data collection that the SEA uses to obtain demographic, academic and vocational outcome information on all Subpart 1 and 2 programs?</li> <li>▪ How does the SEA evaluate statewide and subgrantee program performance and report the results of such evaluations?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Written material describing statewide program performance for the last school year: reports, report cards, handouts, PowerPoint slides, agendas and notes, etc.</li> <li>▪ Evidence SEA provided technical assistance to subgrantees on how to efficiently and effectively collect and use data, including training or conference agendas, presentation materials, activity descriptions, evaluations.</li> <li>▪ A subgrantee monitoring schedule for the current Fiscal Year (FY).</li> <li>▪ A plan for monitoring all subgrantees through desk review and site visits.</li> <li>▪ Monitoring interview protocols for Subpart 1 and 2.</li> <li>▪ Application review checklists or notes.</li> <li>▪ The most recent monitoring reports for subgrantees.</li> <li>▪ SEA documents tracking subgrantee responses to corrective actions.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ The most recent annual data report for the SA or LEA subgrantee.</li> <li>▪ Any longitudinal tracking of annual outcome data for the SA or LEA subgrantee.</li> <li>▪ The most recent agency or program-specific evaluation reports that include mention of the Title I, Part D program.</li> <li>▪ Documents submitted to the SEA to address corrective actions required by the SEA.</li> </ul>

**Monitoring Indicators for Title I, Part D Program  
Instructional Support**

<b>2.1: The SEA ensures that SA programs for eligible students meet all requirements, including facilities that operate institutionwide projects.</b> [§1412(A); §1414(a) and (c), 1416]		
<b>Guiding Questions</b>	<b>Acceptable SEA Evidence</b>	<b>Acceptable SA/LEA Evidence</b>
<p><u>Questions:</u></p> <ul style="list-style-type: none"> <li>▪ What are the SEA’s goals and objectives for the Title I, Part D Program? Have they been reviewed and updated recently?</li> <li>▪ How does the SEA inform SAs about their eligibility and application requirements for a Title I, Part D subgrant?</li> <li>▪ What technical assistance does the SEA provide the SAs on developing or revising their Subpart 1 applications?</li> <li>▪ How does the SEA review and evaluate the Subpart 1 applications?</li> <li>▪ Do institutionwide project plans include a comprehensive needs assessment across all education program services?</li> <li>▪ How are the needs assessment, curriculum, plans for professional development and program evaluation aligned in institutionwide projects?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Updated State plan tracking performance of SEA goals and objectives.</li> <li>▪ Documents concerning eligibility of SA facilities for Title I, Part D funds or institutionwide projects, including checking the Child Count, minimum hours of a regular program of instruction, age of students and average length of stay in institutions.</li> <li>▪ Written SEA guidance to SAs on developing or revising Subpart 1 applications, including institutionwide projects for specific facilities or programs, such as written instructions, agenda, notes or minutes and handouts from meetings with prospective applicants.</li> <li>▪ Checklists, notes or other written evidence that the SEA has a review process for awarding subgrants to SA and approving institutionwide project plans.</li> <li>▪ A list of subgrant awards to all SA and facilities served by Subpart 1 funds.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ State agency applications and supporting documents addressing the 19 application elements, including assurances and descriptions, from the current or past FY, including the length of the school day, weekly hours of a regular program of instruction, and parental involvement activities.</li> <li>▪ Documents related to the 8 institutionwide project application requirements for each facility conducting an institutionwide project, such as comprehensive needs assessment or program evaluation reports.</li> <li>▪ Documents from professional development meetings and program evaluation meetings for institutionwide projects such as reports, agenda, notes or handouts.</li> </ul>

**Monitoring Indicators for Title I, Part D Program  
Instructional Support**

2.2: The SEA ensures that LEA programs for eligible students meet all requirements. [§1423 and §1425]		
Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<p><u>Questions:</u> <u>SEA Questions:</u></p> <ul style="list-style-type: none"> <li>▪ How do you inform LEA’s about the application requirements for a Title I, Part D subgrant?</li> <li>▪ What criteria does the SEA use to determine Subpart 2 programs with “high numbers”?</li> <li>▪ What technical assistance does SEA provide to LEAs and eligible institutions operating Title I, Part D, programs, including developing or revising its Subpart 2 application?</li> <li>▪ How does the SEA review and evaluate the Subpart 2 applications?</li> </ul> <p><u>LEA Questions:</u></p> <ul style="list-style-type: none"> <li>▪ How does the LEA consult with each N or D facility in the program planning and evaluation process?</li> <li>▪ Are formal agreements between the LEA and these facilities reviewed and updated annually?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Written guidance to LEAs on developing or revising Subpart 2 applications such as written instructions, agenda, notes or minutes and handouts from meetings with prospective applicants.</li> <li>▪ Checklists, notes, or other written evidence of the SEA review process for subgrants to LEAs that ensures that all funded facilities meet program goals and provide qualified instructional staff.</li> <li>▪ Written information used by the SEA to identify eligible institutions, such as State agency licensing lists, and notifications to LEAs of their eligibility to submit child counts and apply for funds.</li> <li>▪ A list of all LEA subgrant awards and N or D facilities served by these subgrants.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ LEA applications and supporting documents that address the 13 application elements, including assurances and descriptions, from the current or past FY.</li> <li>▪ Formal agreements between LEAs and neglected or delinquent facilities and programs outlining responsibilities for providing services mentioned in the 13 application elements.</li> <li>▪ Qualifications of Title I, Part D staff when a facility is privately managed and served by the LEA.</li> </ul>

**Monitoring Indicators for Title I, Part D  
Fiduciary**

**3.1 The SEA ensures each State agency complies with the statutory and other regulatory requirements governing State administrative activities, providing fiscal oversight of the grants including reallocations and carryover, ensuring subgrantees reserve funds for transition services, demonstrating fiscal maintenance of effort and requirements to supplement, not supplant.** [§1004, §1414 (c)(7), §1415(b) and §1418] [Also OMB Circular A-87, Part 80, Subpart C of EDGAR, and any other relevant standards, circulars, or legislative mandates]

Guiding Questions	Acceptable SEA Evidence	Acceptable SA Evidence
<ul style="list-style-type: none"> <li>▪ How much of the Subpart 1 allocation does the SEA reserve for State administration activities and for what activities?</li> <li>▪ When do SA receive their Title I, Part D subgrants? If there was a delay of more than three months, why was that?</li> <li>▪ How does the SEA ensure that 15% - 30% of funds are reserved and used for transition activities?</li> <li>▪ What is the SEA’s policy regarding carryover and reallocation of funds?</li> <li>▪ What internal fiscal controls does the SEA have in place to account for the use of Title I, Part D funds in a way that meets Federal requirements?</li> <li>▪ What other technical assistance does the SEA provide to the SAs on uses of funds?</li> </ul> <p><u>For the State agency:</u></p> <ul style="list-style-type: none"> <li>▪ For what transition-related activities are reserved funds used by the SA?</li> <li>▪ How does the SA demonstrate fiscal maintenance of effort?</li> <li>▪ How is the Title I, Part D program supplemental to the regular instructional program?</li> <li>▪ What internal fiscal controls does the SA have in place to account for uses of funds in a way that meets Federal requirements?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ SEA budget detail on reserved funds for State administrative activities for the current FY and use of funds for the last FY.</li> <li>▪ Written guidance sent to SAs outlining requirements for reserving funds for transition services under Subpart 1.</li> <li>▪ Requirements on the State agency application to calculate the percentage and provide budget detail on transition services.</li> <li>▪ Evidence that the SEA reviews fiscal maintenance of effort for SA and any follow-up action when an SA fails to maintain effort.</li> <li>▪ Any other fiscal reporting or oversight of Subpart 1 subgrantees, for example, quarterly reports, budget amendment requests and approvals, etc.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Evidence that the SA reserves the appropriate amount of funds as required for transition services.</li> <li>▪ Documentation of expenditures from the transition reservation for the current and prior FYs and/or documentation concerning the transition services provided at each of the funded facilities or programs.</li> <li>▪ Evidence that the SA is implementing planned and approved activities, for example, budget reports at the end of a FY, records of expenditures, carryover and other summary reports.</li> <li>▪ A current list of all personnel (instructional and administrative staff) paid with Title I, Part D funds and the proportion of their salaries, benefits and duties that are funded by Title I, Part D.</li> </ul>

**Monitoring Indicators for Title I, Part D  
Fiduciary**

**3.2 The SEA ensures each LEA complies with the statutory and other regulatory requirements governing State administrative activities, providing fiscal oversight of the grants including reallocations and carryover, and allowable uses of funds. [§1424] [Also OMB Circulars A-87, Part 80, Subpart C of EDGAR and any other relevant standards, circulars, or legislative mandates]**

Guiding Questions	Acceptable SEA Evidence	Acceptable LEA Evidence
<ul style="list-style-type: none"> <li>▪ How do the SEA and LEA ensure that the Title I, Part D program activities are within the uses of funds and purposes of the Title I, Part D program? What other technical assistance does the SEA provide to the LEAs on uses of funds?</li> <li>▪ When do LEAs receive their Title I, Part D subgrants? If there was a delay of more than three months, why was that?</li> <li>▪ What is the SEA’s policy regarding carryover and reallocation of funds?</li> <li>▪ What kind of internal fiscal controls do SEAs and LEAs have in place to ensure that they can account for the use of Title I, Part D funds in a way that meets Federal requirements?</li> </ul> <p><u>For the LEA:</u></p> <ul style="list-style-type: none"> <li>▪ What consultations does the LEA have with each N or D facility or program that will be served with Subpart 2 funds?</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ SEA budget detail on reserved funds for State level activities for the current FY and use of funds for the last FY</li> <li>▪ Any other fiscal reporting or oversight of Subpart 2 subgrantees, for example, quarterly reports, budget amendment requests and approvals, etc.</li> </ul>	<p><u>Documentation:</u></p> <ul style="list-style-type: none"> <li>▪ Formal agreements between an LEA, an N or D facility or alternative school program governing the use of Subpart 2 funds when they are subcontracted to a facility or program.</li> <li>▪ Evidence that the LEA or facility is implementing planned and approved activities, including budget reports, records of expenditures, carryover and other summary reports.</li> <li>▪ A current list of all personnel (instructional and administrative staff) paid with Title I, Part D funds.</li> </ul>