

ESEA Monitoring Tool

The Maine Department of Education (DOE) is responsible for the oversight and monitoring of programs and activities carried out under the Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA). The Maine DOE has adopted a consolidated approach to monitoring local education agencies (LEAs), both to ensure compliance with federal laws and to support the effective implementation of local programs. The following programs are included within Maine DOE's consolidated ESEA program monitoring: Title I, Part A; Title I, Part D; Title II, Part A; Title III, Part A; Title IV, Part A, Title V, and the McKinney Vento Act.

For each monitoring item, submit suggested documentation through the Department's FTP site. It is necessary to name the document files in the following format: name of school administrative unit followed by the document number that corresponds with the requested monitoring item from the ESEA monitoring tool e.g: RSU99_A-01.doc, RSU99_A-02.pdf, RSU99_B-01.docx. **Please submit documents in Microsoft Word or PDF format only.** Detailed submission instructions can be found here: <https://www.maine.gov/doe/learning/esea/monitoring>

Item Thread Key
Student Supports
Parent, Family, and Community Supports
Professional Development and Training
Equitable Services for Non-public School Students
Fiscal Policies and Procedures
On-site Only (No response/documentation required at this time)

Item	Requirements	Citation(s)	Suggested Documents
A-01	The SAU is required to have a current, board-approved Lau Plan that aligns with federal and state policy and ensures equitable educational opportunity for English learners.	Title VI Civil Rights Act, 1964 USC Sec. 2000d Equal Educational Opportunities Act, 1974, 20 USC. Sec. 1703(a)-(f)	- Lau Plan
A-02	The SAU is required to maintain and update their Comprehensive Needs Assessment (CNA).	Sec. 1112(a) Sec 1114(b) Sec. 4106(d)	-District CNA -Schoolwide CNA Plan(s) (if applicable)
A-03	The SAU must comply with Title I program implementation requirements.	Sec. 1115 & 1116	-Identification and selection criteria -Teacher schedules -Parent documentation (notices, agendas, minutes of meetings, invitations, list or participants, Parent surveys, newsletters, etc.)
A-04	Title ID: The SAU must align its programs of instruction at the State Agency (SA)/SAU facility with state standards and accountability.	Sec. 1401	-Curriculum alignment documentation
A-05	Title ID: The SA/SAU must implement transition strategies for students.	Sec. 1418 & 1423	-Contracts -Transition plans -Student work
A-06	Title ID: The SA/SAU facility must conduct a three-year evaluation of its progress towards meeting State goals.	Sec. 1431	- Disaggregation of data to determine the program's impact to improve educational achievement and graduation rate.

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A-07	The SAU must implement the uniform, statewide English learner identification and exit procedures required by the Maine DOE.	Sec. 3111(b)(2)(A)	<ul style="list-style-type: none"> - Completed Language Use Surveys and English language proficiency screener results present in cumulative files - Enrollment packets and/or online enrollment system with Language Use Survey
A-08	The SAU must prioritize the distribution of Title IV, Part A funds to a school or schools within the SAU where students demonstrate the highest level of need.	Sec. 4106(e)(2)(A)	<ul style="list-style-type: none"> - District-level data report demonstrating the school(s) receiving funds have the greatest need in the area(s) services are being provided
A-09	The SAU must conduct and document best interest placement determinations for homeless students to ensure that student-centered factors are considered and that school stability is prioritized.	Sec. 722(g)(3)(B)	<ul style="list-style-type: none"> - Procedure for best interest determination
B-01	The SAU must frequently inform Title IA parents of their children's academic progress.	Sec. 1111(h)(2)	<ul style="list-style-type: none"> - Sample copies of Title I or school progress reports - Description of how progress reports are provided to parents.
B-02	The SAU must provide a notice to parents regarding the posting, availability, and general information about the ESEA Dashboard.	Sec. 1111(h)(2)	<ul style="list-style-type: none"> - A copy of the parent notice
B-03	The SAU must notify parents of their right to request the professional qualifications of their child's teacher in Title IA schools.	Sec.1112(e)(1)(A)	<ul style="list-style-type: none"> - A copy of the notice - Narrative to describe how the notice was disseminated
B-04	The SAU must notify parents of their right to request and receive information regarding any state or LEA policy, procedure, or parental right to opt their child out of any State or LEA assessments.	Sec. 1112(e)(2)(A)	<ul style="list-style-type: none"> - Initial notification - District Response
B-05	The SAU must provide parents/guardian with information regarding testing transparency outlining required State and local assessments.	Sec. 1112 (e)(2)(B)	<ul style="list-style-type: none"> - A copy of the notification provided to parents/guardians
B-06	The SAU must notify parents/guardians of their child's English learner status, including all required information under ESSA, in a language parents/guardians can understand.	Sec 1112 (e)(3)(A-C)	<ul style="list-style-type: none"> - A copy of an actual letter/notice to parents/guardians, signed, dated and on SAU letterhead

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B-07	The SAU must implement an effective means of outreach to parents/guardians of English learners, including holding regular meetings to collect and respond to feedback from parents/guardians of English learners served under Title I and/or Title III.	Sec. 1113 (e)(3)(C)(i)(II)(ii)	<ul style="list-style-type: none"> - Event invitation - Meeting agenda - Survey - Translation/interpretation of outreach notices/information
B-08	The SAU must have a Parent Involvement Policy and conduct district-level activities/trainings to implement the policy.	Sec.1116 (a) & (e)	- A copy of the SAU Parent Involvement Policy; possibly KBF-E1.
B-09	Title I schools must have a School-Level Parent Involvement Policy. Describe how this was disseminated to parents. Describe the school-level activities/trainings provided to implement the policy.	Sec.1116(c)(1) & (e)	- A copy of each school's School Level Parent Involvement Policy; possibly KBF-E2
B-10	Parents of eligible Title IA students must receive Title IA program information in a timely manner.	Sec.1116 (c) (4) (A)	<ul style="list-style-type: none"> - A copy of an actual letter/notice to parents/guardians, signed, dated and on SAU letterhead, or - Materials provided which inform them of Title IA eligibility and program information in Targeted Assistance Schools
B-11	Title IA School written Parent/School Compact. Describe how this was disseminated to parents.	Sec. 1116(d)(1)	- Copy of each school's Parent/School Compact
B-12	Title IA parent training programs or activities must be evaluated for effectiveness.	Sec. 1116(e)	<ul style="list-style-type: none"> - Evaluation form; - Survey; or - Minutes of a meeting closing activity
B-13	The SAU must determine the needs of Title IA parents in order to provide parent training programs or activities that will assist them in supporting their child's education.	Sec. 1116(e)	<ul style="list-style-type: none"> - Surveys; - Meeting notes; - Process used to collect data from informal discussions with parents
B-14	SAU meets with parents/family members to obtain feedback regarding Title I programming, parent/family engagement activities, and required notices.	Sec. 1118(a), 1118(c), and 1118(d)	<ul style="list-style-type: none"> - Meeting Notes & Attendance Roster - Title I Required Notices - Feedback Survey
B-15	Title ID: The SA/LEA facility must involve parents and family members to improve the educational achievement of their children.	Sec. 1414 & 1424	- Narrative
B-16	The SAU must consult with a variety of stakeholders (including principals, teachers, parents, and students) in the development of its funding application.	Sec. 4106(e)(1)(E)	- Meeting participant list and minutes

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B-17	The SAU must ensure that homeless families and homeless children and youths have access to and receive educational services for which such families, children, and youths are eligible, including services through Head Start programs, early intervention services under Part C of the Individuals with Disabilities Act, and other preschool programs administered by the SAU.	Sec. 722(g)(6)((A)(iii)	<ul style="list-style-type: none"> - Enrollment questionnaire - Service/referral log
B-18	The SAU must notify parents of their option to request that their child's student directory information not be released to military recruiters or institutions of higher education without prior written consent.	Sec. 8528	<ul style="list-style-type: none"> - A copy of the notice - Narrative to describe how the notice was disseminated
C-01	If professional development (PD) activities are carried out under Title IIA, the SAU must collaborate with teachers, paraprofessionals, principals, other relevant school personnel, and parents to plan the PD activities.	Sec. 2122 (b)(7) Sec. 2102(b)(3)	<ul style="list-style-type: none"> - Collaborative meeting participant list and minutes - List of professional development activities
D-01	The SAU must conduct timely and meaningful consultation with eligible non-public schools regarding ESEA equitable services.	Sec. 1117(b) Sec. 8501(c)	<ul style="list-style-type: none"> - Dated meeting minutes
D-02	The SAU must have a written process to procure and pay for services for non-public schools.	Sec.1117(d) Sec. 8501(d)	<ul style="list-style-type: none"> - Narrative that describes the procedure used to access materials and services agreed to during consultation
E-01	The SAU must maintain detailed accounting records for all ESEA programs.	2 CFR Part 200 34 CFR 76.702, 76.730	<ul style="list-style-type: none"> - Detailed Fiscal Year (FY) trial balance for the current FY for all Titles
E-02	The SAU must have a policy/procedure for tracking equipment inventory which meets federal requirements.	2 CFR Part 200.302(b)(7) 2 CFR Part 200.319(C)	<ul style="list-style-type: none"> - Dated equipment inventory - Provide a narrative outlining the procedure used to track the equipment inventory
E-03	The SAU must maintain accounting records and appropriate supporting documentation for all ESEA program expenses.	2 CFR Part 200.305 2 CFR Part 200.319(C)	<ul style="list-style-type: none"> - Invoices for current FY for requested Titles and the supporting documentation

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E-04	<p>For contracted services paid with ESEA funds, the SAU must maintain a contract process. Include steps for determining—</p> <ol style="list-style-type: none"> 1) The necessity of a contract, 2) When cost comparisons are necessary or when rationale for a single vendor can be accepted, and 3) If costs are allocable, reasonable and necessary. 4) List all parties who must initial or sign the contract and identify where the signed contracts are maintained. 5) Describe the process for payment of the contract. 	2 CFR Part 200.317- 200.323	<ul style="list-style-type: none"> - Example of contract signed in the past fiscal year - Contract procedural document
E-05	<p>The SAU must maintain and disseminate a written Staff Code of Conduct Policy covering procurement issues including conflict of interest, gratuities and violations.</p>	2 CFR Part 200.318 (c)	<ul style="list-style-type: none"> - Copy of written Staff Code of Conduct Policy - Narrative describing process for disseminating to staff
E-06	<p>The SAU must maintain appropriate time and effort certifications for all staff paid in part or in whole with any ESEA federal funds.</p>	2 CFR Part 225	<ul style="list-style-type: none"> - Most recent copies of time and effort certifications for each staff member paid in whole or in part with federal funds (i.e. semi-annual certification(s), monthly PAR(s), etc.)