



MAINE DEPARTMENT
OF EDUCATION

ESEA Monitoring Training

Presented by: The ESEA Team





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Meet Our Team

ESEA Federal Programs

We are tasked with the oversight of programs and activities carried out under the Elementary and Secondary Education Act (ESEA).

Our mission is to ensure that schools in Maine provide all children with significant opportunity to receive a fair, equitable, and high-quality education.

Housekeeping Items

- This presentation is being recorded
- Please keep your microphone muted throughout the presentation
- We will be using the Q & A feature during the presentation for:
 - Participants to pose questions, and
 - Department staff to respond to questions.
- A copy of the presentation slides as well as the recording will be available on the ESEA [Monitoring](#) section of the Department's website
- Documents and resources will be shared at the end of the presentation

ESEA Monitoring Overview

- Maine DOE is responsible for the oversight and monitoring of programs and activities carried out under the ESEA, as amended by ESSA
- Monitoring procedures are designed to promote the grant recipient's:
 - Progress in achieving program goals and objectives
 - Adherence to state and federal laws, regulations and assurances governing the program and conformity to the approved application, performance reports or other relevant documents
- Maine DOE has adopted a consolidated approach to ESEA monitoring, both to ensure SAU compliance with federal laws and to support the effective implementation of local ESEA programs

ESEA Monitoring Selection Criteria

- 20 Indicators are reviewed for each SAU annually
 - SAU characteristics (size, funding level, staff turnover, etc.)
 - Submission and approval dates (applications, performance reports, etc.)
 - Fiscal oversight (single audit findings, returned funds, excess carryover, etc.)
- SAU characteristic and performance data is largely generated from Grants4ME, with a handful of data points coming from other sources

ESEA Monitoring Selection Process

1. Data for each SAU is loaded into the Monitoring Selection Tool
2. Based on the data, points are assigned to each SAU for each indicator
3. Total points for programmatic & fiscal items are calculated for each SAU
4. Total number of programmatic & fiscal items are calculated for each SAU
5. Based on the number of points and the percentage of category items, each SAU is then measured against the criterion references for both medium and high levels of support
6. Each SAU is assigned an overall monitoring level based on the highest level of support needed between programmatic and fiscal indicators

ESEA Monitoring Support Levels

- **Low** – Standard procedures that are required of **ALL** SAUs operating ESEA programs and evidenced by submissions of required documents through the online grant management system, Grants4ME, and regular contact and support from the SAU’s regional program manager throughout the course of the year.
- **Medium** - All the requirements outlined in Low Level Monitoring with the required additional submission of documentation during two submission windows (Fall and Winter) throughout the year, in Grants4ME.
- **High** – All the requirements outlined in Low Level and Medium-Level Monitoring, with the required submission of additional documentation during two submission windows (Fall and Winter) throughout the year, in Grants4ME, and the potential for an on-site review in the Spring as deemed necessary by the ESEA team.

ESEA Monitoring Updates

FY24 Monitoring Cycle

- Three (3) item collection windows
 - Fall: Opened 10/1; Submissions Due 10/14
 - Winter: Opened 1/4; Submissions Due 1/19
 - Spring: Opened 4/1; Submissions Due 4/15
- Total of 33 monitoring items
 - Fall: 12 items (6 medium; 6 high)
 - Winter: 11 items (4 medium; 7 high)
 - Spring: 10 items (4 medium; 6 high)
- No on-site visits were conducted

FY25 Monitoring Cycle

- Two (2) item collection windows
 - Fall: Opened 9/1; Submissions Due 10/1
 - Winter: Opens 2/1; Submissions Due 2/21
- Total of 34 monitoring items
 - Fall: 17 items (12 medium; 5 high)
 - Winter: 17 items (10 medium; 7 high)
- On-site visits will be reinstated
 - Will occur in spring for SAUs demonstrating greatest need for support
 - Advanced notice will be provided

Key Considerations

Understand which programs and monitoring items are relevant

- Take note of which ESEA program(s) the SAU implements
 - Items related to programs that the SAU does not administer should be marked as “N/A”
 - Example: SAU does not receive Title III funds; transfers all Title II funds to Title I
- Know whether the SAU consults with non-public school(s) on equitable services
 - Titles I, II, III, and/or IV

Understand the types of support programs the SAU facilitates

- Monitoring item evidence may vary based on local program design
 - Schoolwide
 - TAS
 - TAS program at non-public
 - Tier I, II, or III status (MMSS)
 - Supplemental ML programming (funded by Titles I and/or III)

Incomplete & Non-submissions

Incomplete and/or no submissions may result in:

- Formal letter issued to the SAU
 - Superintendent
 - ESEA Coordinator
 - Business Manager
- Temporary hold placed on SAU's access to ESEA funding
- Onsite SAU visit with Maine DOE staff
 - ESEA Regional Program Manager
 - ESEA Program Specialist(s)
 - ESEA Fiscal Coordinator

ESEA Monitoring Items

General ESEA Requirements

Fall Collection Window

Medium Items

- B-1: [Stakeholder Engagement](#)
- D-1: [Timely and Meaningful Non-Public Consultation](#)

High Items

- N/A

Winter Collection Window

Medium Items

- A-1: [Prioritizing High-Need Schools](#)
- E-5: [Non-Public Procurement and Payment Process](#)

High Items

- A-6: [Updated Comprehensive Needs Assessment](#) and/or [Updated Schoolwide Plan](#)
- C-3: [Statutorily Defined PD](#)

Item B-1:

ESEA Application Consultation

Sec. 1112(a)(1)(A); Sec. 2102 (b)(3); Sec. 4106(c)

Monitoring Window	Support Level
Fall	Medium

Who this applies to:

Any SAU that receives and expends funding under Title I, Part A, Title II, Part A, or Title IV, Part A

Who this doesn't apply to:

Any SAU that does not receive funding under Title I, Part A, Title II, Part A, and Title IV, Part A or does receive Title II or Title IV funding and transfers 100% of those funds to other ESEA program(s)

Key Requirements

- SAUs must consult with students, parents, teachers, paraprofessionals, principals, administrators, and other stakeholders in developing its ESEA Application
- SAUs must provide evidence of having obtained feedback from required stakeholder groups

Item D-1:

Timely and Meaningful Non-Public Consultation

Sec. 1117(b) and Sec 8501(c)

Monitoring Window	Support Level
Fall	Medium

Who this applies to:

Any SAU that works with eligible non-publics who participate in ESEA Equitable Services

Who this doesn't apply to:

Any SAU that does not consult with non-publics

Key Requirements

The following is documented through consultation process:

- Discussion of student high needs
- Type of services that will be offered
- How, where and by whom the services will be provided
- How program will be assessed, goals, etc.

Item A-1: Prioritizing High-Need School(s)

Sec. 2102 (b)(2)(C) and Sec. 4106(e)(2)(A)

Monitoring Window	Support Level
Winter	Medium

Who this applies to:

Any SAU that receives and expends funding under Title II, Part A or Title IV, Part A

Who this doesn't apply to:

Any SAU that does not receive funding under Title II, Part A or Title IV, Part A or does receive funding under one or both programs and transfers 100% of those funds to other ESEA program(s)

Key Requirements

- SAUs must describe the data-driven process used to determine which school(s) within the SAU were prioritized for funding
- SAUs must provide data to corroborate that selected school(s) have greatest need among all schools within the SAU

Item E-5:

Non-Public Procurement & Payment Process

Sec. 1117(d) and Sec 8501(d)

Monitoring Window	Support Level
Winter	Medium

Who this applies to:

Any SAU that works with eligible non-publics who participate in ESEA Equitable Services

Who this doesn't apply to:

Any SAU that does not consult with non-publics

Key Requirements

- SAU must demonstrate materials, equipment, and property purchased with ESEA funds for a non-public school shall be paid for and maintained by the public SAU
- Evidence: Written narrative of the SAU's process, procedures, and/or programs around the services they deliver as well as how public SAU purchases items or contract services for the non-public school.
 - Title I only: Teacher Schedule

Item A-6:

Updated Comprehensive Needs Assessment/Schoolwide Plan

Sec. 1112(a), Sec. 1114(b) and Sec. 4106(d)

Monitoring Window	Support Level
Winter	High

SAUs this applies to: ALL who receive ESEA funding because an annual Comprehensive Needs Assessment is a requirement under ESEA; as well as SAUs with Schoolwide Programs

Key Requirements

- General CNA
 - Diverse group of stakeholders as part of planning process
 - Analyze 3 most recent years of data to determine goals, activities, and instructional programs that will meet the needs of children in the school (particularly those most at risk of failing)
 - Plan for high quality instructional programming and ongoing PD that will address greatest needs
- Schoolwide Plan
 - Student subgroup analysis: Special Ed, Major Ethnic/Racial Groups, Economically Disadvantaged, and Multi-Lingual Learners
 - Methods and strategies that strengthen academic program

Item C-3:

Statutorily Defined PD

Sec. 1111(d)(1)(2), Sec. 2103 (b)(3)(E) and Sec. 8101(42)

Monitoring Window	Support Level
Winter	High

SAUs this applies to: Any that utilize Title IIA funds for PD purposes or are identified under Maine’s Model of School Support (MMSS)

SAUs this doesn’t apply to: Any that transfer all funds out of Title IIA and aren’t identified under MMSS

Key Requirements

- Materials such as handouts, slideshows, agendas, or notes from PD paid for with Title IIA or undertaken by schools identified under MMSS needs to be retained to help demonstrate it is evidence-based and “sustained (not stand-alone, 1-day, or short-term workshops), intensive, collaborative, job-embedded, data-driven, and classroom-focused.”

Title I, Part A Monitoring Items

Fall Collection Window

Medium Items

- B4: [Parent Notification of Teacher Qualifications](#)
- B5: [Testing Notifications](#)
- E8: [Title IA Supplement, Not Supplant](#)

High Items

- A2: [TAS Program Implementation Requirements](#)
- B6: [Parent and Family Feedback](#)
- B7: [Parental Notification of Academic Progress](#)

Winter Collection Window

Medium Items

- B11: [Timely Family Communication](#)
- B12: [School-Parent Compact](#)

High Items

- B10: [School Level Parent Involvement](#)

Item B-4:

Parent's Right to Know – Teacher Qualifications

Sec. 1112(e)(1)(A)

Window	Support Level
Fall	Medium

SAUs this applies to:

Title I, Part A Recipients

SAUs this doesn't apply to:

SAUs who do not have Title I programs

Big Takeaways

- *Parent's Right to Know*: notification shared within first 4 weeks, with the language that parents have a right to request, and the SAU will provide in a timely manner, information regarding professional qualifications of student's classroom teachers.
- For Monitoring:
 - The notification to parents with the appropriate language
 - Narrative of dissemination of letter
 - 4-week letter if teacher does not have certification

Item B-5:

Parent's Right to Know - Testing Notifications

Sec. 1112(e)(2)(A)

Window	Support Level
Fall	Medium

SAUs this applies to:

Title I, Part A Recipients

SAUs this doesn't apply to:

SAUs who do not have Title I programs

Big Takeaways

- *Parent's Right to Know*
- Testing and teacher qualification notification can be combined or separate
- Notification that communicates to parents that they have a right to request information regarding any State or local educational agency policy regarding student participation in any required assessments (and the LEA will provide in a timely manner)

Item E-8:

Supplement, not Supplant

Sec. 1118(b)(2)

Window	Support Level
Fall	Medium

SAUs this applies to:

Title I, Part A Recipients who are **not** Title I Exempt (only 1 school or 1 school per grade span) or Title I Neutral (serving all schools in a grade span and not the other grade spans)

SAUs this doesn't apply to:

Title I, Part A Recipients who are Title I Exempt or Title I Neutral

Big Takeaways

- Evidence: Description of local budgeting process, which needs to be void of considerations of Title I supplemental funding
 - Spreadsheet, template, or other document that demonstrates methodology
- There should be no supplanting of local funds for anticipated supplemental Title I funds.

Item A-2: Targeted Assistance Implementation Requirements

Sec. 1115

Window	Support Level
Fall	High

SAUs this applies to: Title I, Part A Recipients who have schools with Targeted Assistance Programs (TAS). This includes non-publics who participate in Title I Equitable Services and have a TAS program

Big Takeaways

- This item is how we understand how the TAS programs are implemented
 - Detailed written narratives around programming, identification and ongoing review of student progress
 - Student lists (names redacted) and criteria selection
 - Teacher schedule, etc.
 - Narrative on how school minimizes removal of children of regular classroom

Item B-6:

Parent and Family Feedback

Sec. 1116(a), Sec. 1116(c) and Sec. 1116(d)

Window	Support Level
Fall	High

SAUs this applies to:

Title I, Part A Recipients

SAUs this doesn't apply to:

LEAs who do not have Title I programs

Big Takeaways

- SAUs must solicit feedback from parents/guardians to improve Title I TAS or SW programs.
- Examples of evidence: websites or handbook communications soliciting parental feedback, parent surveys, notes/rosters of parent meetings or advisory committees
- This can look different based on SAU but should be evidence that parent and family feedback is solicited concerning Title I programs.

Item B-7:

Parental Notification of Academic Progress

Sec. 1111(h)(2)

Window	Support Level
Fall	High

SAUs this applies to:

Title I, Part A Recipients

SAUs this doesn't apply to:

SAUs who do not have Title I programs

- **Big Takeaways**
- Whether TAS (Title I students) or SWP (whole school), SAUs must ensure they are notifying parents and guardians of students' academic progress
- Evidence: Sample copies of progress reports/report cards (names redacted); and description of how progress reports are provided to parents

Item B-11:

Timely Family Communication

Sec. 1116(c)(4)(e)

Monitoring Window	Support Level
Winter	Medium

SAUs this applies to:

Title I, Part A Recipients

SAUs this doesn't apply to:

SAUs who do not have Title I programs

Big Takeaways

- Family Engagement under Title I requires consistent, transparent and timely communications with parents, guardians and families of students.
- For **TAS programs**, Title I student letters notifying parents on relevant information concerning student and school updates would meet this requirement
- For **Schoolwide Programs**, the SAU demonstrates how they communicate to all parents with important student and school updates in timely ways

Item B-12:

School-Parent Compact

Sec. 1116(d)

Monitoring Window	Support Level
Winter	Medium

SAUs this applies to:

Title I, Part A Recipients

SAUs this doesn't apply to:

SAUs who do not have Title I programs

Big Takeaways

- The School-Parent compact is clearly outlined in statute. It can be part of the school-level Family Engagement Policy and/or live separately.
- Compact includes
 - Shared responsibilities of school and parent
 - Describes parent-teacher communications and expectations
- Shared readily with parents in handbooks or through the website where it can be viewed at any time.
- Good to update when moving from TAS to SWP

Item B-10:

School-Level Parent and Family Involvement and Activities

Sec. 1116

Monitoring Window	Support Level
Winter	High

SAUs this applies to:

Title I, Part A Recipients

SAUs this doesn't apply to:

SAUs who do not have Title I programs

Big Takeaways

- School-Level Parent and Family Engagement Policy
- Narrative description, roster, or meeting notes that provide evidence of parental activities as outlined by the policy.
- Wide variety of examples may satisfy this requirement; what's important is that school officials are
 - Notifying parents of the policy
 - Updating the policy periodically
 - Convening an annual parent meeting
 - Providing timely information about Title IA Programs
 - Carrying out activities according to the school policy

Title II, Part A Monitoring Items

Fall Collection Window

Medium Items

- C-1: [Class Size Reduction](#)

High Items

- N/A

Winter Collection Window

Medium Items

- C-2: [Collaboration of PD Planning](#)

High Items

- N/A

Item C-1:

Class Size Reduction

Sec. 2103(b)(5)

Window	Support Level
Fall	Medium

SAUs this applies to: Any that utilize Title IIA for class size reduction projects

SAUs this doesn't apply to: Any that don't use Title IIA for class size reduction

Big Takeaways

- SAUs need to document the class size before and after the CSR
- SAUs need to provide evidence or explanation for how the CSR teacher was determined to be effective

Item C-2:

Collaboration of PD Planning

Sec. 2102(b)(3)

Monitoring Window	Support Level
Winter	Medium

SAUs this applies to: Any that utilize Title IIA for PD purposes

SAUs this doesn't apply to: Any that transfer all funds out of Title IIA or don't

Big Takeaways

- Evidence needs to be kept that all stakeholders (teachers, paraprofessionals, principals, other relevant school personnel, and parents) were involved in determining PD needs of the SAU
- We need to be able to make connections between those identified needs and what Title IIA funds were spent on

Title III, Part A Monitoring Items

Fall Collection Window

Medium Items

- B8: [Parental Notification of ML status](#)
- B9: [ML Guardian Outreach](#)

High Items

- N/A

Winter Collection Window

Medium Items

- A-5: [Title III: ML Identification and Exit Procedures](#)
- C-4: [Effective Professional Development](#)

High Items

- N/A

Item B-8:

Parental Notification of Multi-Lingual status

Sec. 1112 (e)(3)(A) and Sec. 1112 (e)(3)(B)

Window	Support Level
Fall	Medium

SAUs this applies to: Title I, Part A or Title III recipients who are providing a language instruction program.

SAUs this doesn't apply to: recipients who are not providing a Title III language instruction program.

Big Takeaways

- Within 30 days of the beginning of the school year, parents' of MLs must be informed about:
 - Reason for identification
 - Level of English proficiency
 - Instructional methods used in the program
 - How the program will need ML's needs
 - Exit requirement
 - Information pertaining to parental rights

Item B-9:

Multi-Lingual Guardian Outreach

Sec. 1112(e)(3)(C)

Window	Support Level
Fall	Medium

SAUs this applies to: Title I, Part A or Title III recipients who are providing a language instruction program.

SAUs this doesn't apply to: recipients who are not providing a Title III language instruction program.

Big Takeaways

- Guardian outreach must be conducted in languages parents of ML's would understand.
- Outreach must include how parents can be involved, active participants in the educational program of their children.
- Holding regular meetings for the purpose of formulating and responding to recommendations from parents of students assisted under this part or Title III.

Item A-5:

Multi-Lingual Identification and Exit Procedures

Sec. 3111(b)(2)(A)

Monitoring Window	Support Level
Winter	Medium

SAUs this applies to:

All SAUs are required to follow the State identification and exit procedures, however Title III districts will be specifically monitored for this item

SAUs this doesn't apply to:

N/A

Big Takeaways:

- SAUs should be utilizing the State Language Use Survey as the first step in identifying Multilingual Learners
- SAUs should follow the State provided Decision Tree document for identifying Multilingual Learners
- SAUs follow the State guidelines for exiting Multilingual Learners

Item C-4:

Effective Professional Development

Section 3115(c)(2)

Monitoring Window	Support Level
Winter	Medium

SAUs this applies to:

SAUs that receive Title III, Part A funds

SAUs this doesn't apply to:

SAUs that do not receive Title III, Part A funds

Big Takeaways

- The SAU must show evidence of funding activities that meet the definition of evidence based and professional development
- These need to be identified in the areas of high need in the annual comprehensive needs assessment.

Fiscal Requirements

Fall Collection Window

Medium Items

- E-1: [Financial Management](#)
- E-4: [Time and Effort](#)

High Items

- N/A

Winter Collection Window

Medium Items

- E-2: [Travel Policy](#)
- E-7: [Procurement Standards](#)

High Items

- E-3: [Procurement Standards Staff Code of Conduct](#)
- E-6: [Equipment Policy and Procedure](#)

Item E-1: Financial Management

2 CFR 200.302

Window	Support Level
Fall	Medium

SAUs this applies to:

Any SAU that receives ESEA federal funding
(including School Improvement funds)

Big Takeaways:

Each SAU's Financial Management System must:

- Identify all Federal awards received and expended
- Records that identify the source and application of funds for federally funded activities

Current year fiscal monitoring will always seek evidence from the prior fiscal year

Grant/Project Tracking Report (Landscape)

Fiscal Year: 2022-2023

Date Range: 07/01/2022 - 06/30/2023

Fund: All

Grant/Project Code: TITLE 1

ACCOUNT MASK: 1111.1111.1111.1111.1111.11

ACCOUNT TYPES: EXPENDITURE

FISCAL YEAR: Current & Prior Year

Grant/Project Code: TITLE 1

TITLE 1

FUND: 2300 TITLE IA

ACCOUNT	SEARCH NAME	ACCT. DESCRIPTION	BUDGET	EXPEND. AMOUNT	ENCUMBR. AMOUNT	TOTAL AMOUNT	BUDGET BALANCE
2300.5000.1000.56100.950.00	21 TITLE 1 - SA-SUPPLIES&TRAV	CLASSROOM SUPPLIES/ELEM/PRIV SCHO	\$0.00	\$1,298.75	\$0.00	\$1,298.75	(\$1,298.75)
<u>Transaction Detail (Standard)</u>							
<u>Date</u>	<u>Reference No.</u>	<u>Requisition No.</u>	<u>PD/Ship No.</u>	<u>Description</u>	<u>Name</u>	<u>Journal</u>	<u>Amount</u>
09/29/2022	14632	23130169	231300162	AP POSTING	REMEDIA PUBLICATIONS INC	Accounts Payable	\$1,298.75
						Detail Total:	\$1,298.75
FUND SUB TOTAL			\$0.00	\$1,298.75	\$0.00	\$1,298.75	(\$1,298.75)
SEARCH NAME SUB TOTAL			\$0.00	\$1,298.75	\$0.00	\$1,298.75	(\$1,298.75)

FUND: 2300 TITLE IA

ACCOUNT	SEARCH NAME	ACCT. DESCRIPTION	BUDGET	EXPEND. AMOUNT	ENCUMBR. AMOUNT	TOTAL AMOUNT	BUDGET BALANCE
2300.1100.1000.51010.060.00	22 TITLE 1 - 14TH SAL & BEN	SALARIES/TEACHERS/14TH	\$0.00	\$1,625.40	\$1,625.40	\$3,250.80	(\$3,250.80)

Transaction Detail (Standard)

Item E-4:

Time and Effort

2 CFR 200.430(i)

Window	Support Level
Fall	Medium

Caution: This is not a document to certify payroll.

SAUs they apply to:

All SAUs that receive ESEA funding as well as any of their staff paid in whole or in part using federal funds

Big Takeaways:

- Time and effort must be maintained and certify 100% of the employee's time and effort.
- Refrain from using phrases such as: "I, Jane Doe certify I am paid 100% with Title I ESEA Funds."
- The documentation must state what cost objective the employee is working on, and the percentage of time spent on that cost objective.
- Document need to be certified by someone (employee, building supervisor) with first-hand knowledge of the activities.

Item E-2: Travel Policy

2 CFR 200.475

Monitoring Window	Support Level
Winter	Medium

SAUs they apply to: Any SAU that uses federal funds to reimburse travel expenses for staff attending professional development.

Big Takeaways:

- A requirement to have a written travel reimbursement policy at either the district level or school level is included in the Code of Federal Regulations (CFR).
- Written policy needs to account for:
 - Lodging
 - Meals
 - Mileage
 - Rate of reimbursement
 - Per diem
 - Actual Costs
 - Combination

Note - This travel reimbursement policy is independent of a teacher's contract.

Item E-7:

Written Procurement Standards

2 CFR 200.318 - 200.327

Monitoring Window	Support Level
Winter	Medium

SAUs they apply to:

Any SAU that uses federal funds to support contracted services or commodities

Big Takeaways:

- The SAU must have and use documented procurement procedures, consistent with State, local, and tribal laws and regulations.
- The non-Federal entity's documented procurement procedures must conform to the procurement standards identified in §§ 200.317 through 200.327

Item E-3:

Procurement Standards – Staff Code of Conduct

2 CFR 200.318(C)

Monitoring Window	Support Level
Winter	High

SAUs they apply to:

Any SAU that uses federal funds to support contracted services

Big Takeaways:

- The SAU must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of contracts.
- The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity.

Item E-6:

Equipment Policy and Procedures

2 CFR 200.439

Monitoring Window	Support Level
Winter	High

SAUs they apply to:

Any SAU that uses federal funds to purchase equipment

Big Takeaways:

- An equipment item is tangible personal property (including information technology systems), any instrument, machine, apparatus, or articles that meet ALL the following criteria:
 - Has a useful life of more than one year
 - A per-unit acquisition cost of over \$5,000
 - Retains its original shape, appearance, and character with use
 - Under normal conditions of use, including reasonable care and maintenance, it can be expected to serve its principal purpose for at least one year.



EQUIPMENT INVENTORY CHECKLIST:

Verify that the column headings on the SAU Equipment Inventory Sheets contain (at a minimum) the following information ([2CFR Part 200.313](#))

- Description of the property, including manufacturer's model number, if any.
- Manufacturer's serial number or other identification number.
- ID #'s can be numbers that are assigned by the SAU.
- Identification of the funding source under which the property was acquired.
- Acquisition date and unit cost.
- Source of property (company name).
- Percentage of federal funds used in the purchase of the property.
- Present location, use, condition of the property, and date the information was reported.
- All pertinent information on the ultimate transfer, replacement, or disposition of the equipment.

An inventory that tracks all the above information might look like this:

Description	Manufacturer's Model #	Serial # Or ID #	Funding Source	Date Purchased	Unit Cost	Vendor	% Federal Funds Used	Location	Condition	Date the Location/ Condition was verified	Disposed of/ Replacement Date

School Improvement Requirements

Fall Collection Window

Medium Items

- N/A

High Items

- S-1: [Title I -Tier I \(ATSI\) School Improvement Plans](#)
- S-2: [Title I -Tier II \(TSI\) School Improvement Plans](#)

Winter Collection Window

Medium Items

- N/A

High Items

- N/A

Item S-1:

Tier I (ATSI) School Improvement Plan

Sec. 1111(d)(2)(C)

Window	Support Level
Fall	High

SAUs they apply to: Any SAU that has schools identified as Tier III (CSI-Outside 5%) and Tier I (ATSI) under Maine’s Model of Support (MMSS)

SAUs they don’t apply to: SAUs with no Tier I (ATSI) or Tier III (CSI-Outside 5%)

Big Takeaways:

*Plans must:

- 1) Be developed in partnership with principal, other school leaders, teachers, and parents,
- 2) Be informed by all indicators in MMSS,
- 3) Include one or more evidence-based intervention
- 4) Identify resource inequities that are addressed through the implementation of the plan
- 5) Be reviewed, approved and monitored by the school and SAU.

*Note: 1. CNA/SWP (Title I Schoolwide program) can be used if includes **all** SI plan statutory requirements
2. SAU CNA can be used if includes **all** identified schools and the SI plan statutory requirements

Item S-2:

Tier II (TSI) School Improvement Plan

Sec. 1111(d)(2)(B)

Window	Support Level
Fall	High

SAUs they apply to: Any SAU that has schools identified as Tier II under Maine’s Model of School Supports. Schools were identified in MAY 2023.

SAUs they don’t apply to: SAUs with no Tier II identified schools

Big Takeaways:

*Plans must:

- 1) Be developed in partnership with principal, other school leaders, teachers, and parents,
- 2) Be informed by all indicators in MMSS,
- 3) Include one or more evidence-based intervention, and
- 4) Be reviewed, approved and monitored by the school and SAU.

*Note: 1. CNA/SWP (Title I Schoolwide program) can be used if includes **all** SI plan statutory requirements
2. SAU CNA can be used if includes **all** identified schools and the SI plan statutory requirements

Title I, Part D Requirements

Fall Collection Window

Medium Items

- N/A

High Items

- N/A

Winter Collection Window

Medium Items

- A4: [Evaluation of Progress](#)
- A7: [Curricular Alignment](#)

High Items

- A3: [Transition Strategies](#)
- B2: [Parent and Family Involvement](#)

Item A-4:

Evaluation of Progress

Sec. 1431

Monitoring Window	Support Level
Winter	Medium

SAUs this applies to:

Title I, Part D Subrecipients (Subpart 1 and 2)

SAUs this doesn't apply to:

SAUs who do not receive Title I, Part D because they do not have State or Residential Facilities for Adjudicated Youth

Big Takeaways:

- No less than once every three years, the SAU has evaluated the program's effectiveness by looking at student outcomes
- Disaggregated data by race, gender, ethnicity and age to determine impact of program
- Notes, agenda or meeting minutes from program evaluation meetings

Item A-7:

Curricular Alignment

Sec. 1401

Monitoring Window	Support Level
Winter	Medium

SAUs this applies to:

Title I, Part D Subrecipients (Subpart 1 and 2)

SAUs this doesn't apply to:

SAUs who do not receive Title I, Part D

Big Takeaways:

- SAUs must demonstrate that their educational programming and curriculum is aligned to academic state standards
- Evidence: Curriculum Alignment Documentation

Item A-3: Transition Strategies

Sec. 1418 and Sec. 1423

Monitoring Window	Support Level
Winter	High

SAUs this applies to:

Title I, Part D Subrecipients (Subpart 1 and 2)

SAUs this doesn't apply to:

SAUs who do not receive Title I, Part D because they do not have State or Residential Facilities for Adjudicated Youth

Big Takeaways:

- SAU must demonstrate that the program provides transition services and/or strategies for students towards continued education, CTE programs, employment, and/or additional services
- Evidence: Contracts with transition service providers, transition plans, student work, etc.

Item B-2:

Parent and Family Involvement

Sec. 1414(2)(c)(14) and Sec. 1423(2)(8)

Monitoring Window	Support Level
Winter	High

SAUs this applies to:

Title I, Part D Subrecipients (Subpart 1 and 2)

SAUs this doesn't apply to:

SAUs who do not receive Title I, Part D because they do not have State or Residential Facilities for Adjudicated Youth

Big Takeaways:

- Evidence: documentation that provides evidence of family engagement communications
- written narrative that describes how SAU works with parents to improve educational achievement of their children or youth

Resources for Monitoring Support

ESEA Home

Resources

Monitoring

Fiscal Allocations

Guidance

Grants4ME

Grant Management

CNA Guidance & Template

ESEA Monitoring

The Maine Department of Education (DOE), as the State Education Agency (SEA), is responsible for the oversight and monitoring of programs and activities carried out under the Elementary and Secondary Education Act (ESEA), as amended by Every Student Succeeds Act (ESSA).

The General Education Provisions Act (GEPA) requires that each state "adopt and use proper methods of administering each applicable program, including monitoring of agencies, institutions, and organizations responsible for carrying out each program." Monitoring procedures must be designed to promote each subrecipient's progress in achieving program goals and objectives; adherence to laws, regulations and assurances governing the program; and conformity to the approved application, performance reports or other relevant documents. Likewise, the [Code of Federal Regulations](#) requires the SEA to monitor grants to ensure compliance with applicable Federal requirements and that performance goals are achieved.

The Maine DOE has adopted a consolidated approach to monitoring State Administrative Units (SAUs), 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, and Title V, Part B, Subpart II.

- [ESEA Federal Programs Monitoring Guidance](#)
- [Monitoring Instrument Training](#) (training from March 2023)
- [Monitoring Instrument FAQ](#)

Next Steps and Timeline

- Review ESEA GAN(s) in Grants4ME for ESEA Monitoring Level
- ESEA Monitoring Instrument narrative responses and document uploads
- Fall Window
 - SAU submissions due: **October 1st**
 - ESEA feedback: November 1st
- Winter Window
 - SAU submission: **February 21st**
 - ESEA feedback: March 21st



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The background of the slide features dark silhouettes of several individuals, likely students, sitting and reading books. The scene is dimly lit, with the light source coming from the side, creating a focused and studious atmosphere.

MAINE DEPARTMENT
OF EDUCATION

ESEA Monitoring Instrument Demo

Presented by: The ESEA Team



Monitoring Instrument Live Demo



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