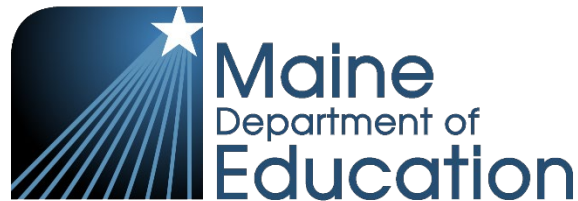


**STATE OF MAINE**  
**DEPARTMENT OF EDUCATION**



**ESEA FEDERAL PROGRAMS MONITORING GUIDANCE**

**Title I, Part A | Title I, Part D | Title II, Part A**  
**Title III, Part A | Title IV, Part A | Title V, Part B, Subpart II**



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).

**Table of Contents**

[Commonly-Used Acronyms](#) ..... 3

[ESEA Federal Programs Overview](#) ..... 3

[Monitoring Purpose Overview](#) ..... 4

[Monitoring Level Determination](#) ..... 5

[Monitoring Status Guidance](#) ..... 6

[Monitoring Submission Windows](#) ..... 6

[Submission of Required Documentation](#) ..... 7

[Monitoring Factsheets](#) ..... 7

[Monitoring Feedback](#) ..... 8

[Corrective Action Plans](#) ..... 8

[On-Site Visits](#) ..... 9

[Communication is Key](#) ..... 9

## Commonly-Used Acronyms

CAP: Corrective Action Plan

CFR: Code of Federal Regulations

EDGAR: Education Department General Administrative Regulations

ESEA: Elementary and Secondary Education Act

ESSA: Every Student Succeeds Act

GAN: Grant Award Notification

GEPA: General Education Provisions Act

DOE: Department of Education

SAU: School Administrative Unit

SEA: State Education Agency

## ESEA Federal Programs Overview

The ESEA Federal Programs Team within the Maine DOE is comprised of regional program managers who each serve specific superintendent region(s) across the state. This model allows each School Administrative Unit (SAU) to have one primary contact for ESEA programming and technical support for effective implementation of ESEA federal programs and compliance with applicable statutory requirements.

Each regional program manager is also a specialist for one or more of the different programs authorized under the ESEA. Collectively, it is a shared responsibility of the ESEA Team to have an in-depth knowledge of statutory requirements for all ESEA programs.

The ESEA Federal Programs Team also includes a continuous school improvement coordinator who oversees the additional guidance, resources, funding, and coaching support (when applicable) provided to schools that have been identified as needing additional support and guidance in meeting the necessary requirements on their continuous school improvement journey.

In addition, the team is supported by a fiscal coordinator, who oversees the fiscal management of the various ESEA grant programs. This individual also serves as the primary point of contact for ESEA-related invoices and reimbursement requests, ensuring SAU payment requests meet federal statutory requirements.

The goals of having primary points of contact within the ESEA Federal Programs Team are to:

- Build relationships with the SAU and school leaders;
- Provide support, guidance and resources to ensure accountability with federal statutory requirements;

- Maximize the use of resources to ultimately increase student achievement; and
- Ensure Accountability with Federal Statutory Requirements.

The ESEA Federal Programs Team is committed to providing necessary technical support, guidance, and resources throughout the year to support SAUs and schools receiving federal ESEA funding in meeting their goals as well as the statutory requirements for each program. These supports include but are not limited to:

- Ongoing technical support that is typically provided directly from a regional program manager (programmatic-SAU), fiscal coordinator (fiscal-SAU/school), or continuous school improvement coordinator (programmatic-school) depending on the need;
- Timely review and feedback (within two weeks of submission) on Consolidated ESEA Applications and Continuous School Improvement Strategic Planning Applications (when applicable);
- Timely review and feedback (within two weeks of submission) on Performance Reports and Grant Close-Out Reports for SAUs;
- Trainings and resources that are provided prior to required due dates of specific items;
- Monthly newsletters that are posted to the Maine DOE website (all months are archived with continued accessibility);
- Monthly Virtual Offices Hours that are provided for school and district staff overseeing the implementation of ESEA programming; and
- Direct contact with individual team representatives that offer individualized/personalized support and guidance.

## Monitoring Purpose Overview

The Maine DOE is responsible for the oversight and monitoring of programs and activities carried out under the ESEA, as amended by 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 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. Likewise, the [Education Department General Administrative Regulations \(EDGAR\)](#) requires each State Education Agency (SEA) to monitor grants to assure compliance with applicable federal requirements and that performance goals are being achieved.

The Maine DOE has adopted a consolidated approach to monitoring 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: Improving the Academic Achievement of the Disadvantaged;
- Title I, Part D: The Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent or At Risk;
- Title II, Part A: Preparing, Training, and Recruiting High-Quality Teachers, Principals, and Other School Leaders;
- Title III, Part A: Language Instruction for English Learnings and Immigrant Students;
- Title IV, Part A: Student Support and Academic Enrichment; and
- Title V, Part B, Subpart II: Rural and Low-Income Schools Program.

In order to ensure necessary compliance with statutory requirements, the Maine DOE works in collaboration with SAUs and schools to provide on-going guidance, support, and technical assistance throughout the year.

### Monitoring Level Determination

At the beginning of each fiscal year, SAUs are evaluated using both ESEA fiscal and programmatic indicators that take into account the specific characteristics and performance data for each SAU. The Maine DOE determines the level of monitoring support needed for each SAU through the following indicators:

Fiscal Indicators	Programmatic Indicators
Newly Established SAU and/or Schools (including restructuring)	
Key Personnel - Turnover	
Application – Substantial Approval Date after 9/1	
Performance Report – Final Approval Date after 2/1	
Funding – Combined amount	Maine’s Model of School Support – Identified Schools
Funding – Number of sources	Application – Late Submission after 8/1
Invoices – Minimum of Quarterly Submissions for each title	Application – Returned for Additional Edits (number of times)
Invoices – At least one invoice for each title	Application – Final Approval Date after 11/1
Improper Use – Required to return funds	Performance Report –Returned for Additional Edits (Number of times)
Excess Carryover of Funds	
Risk Assessment Rating	
Single Audit findings	

The Maine DOE reviews SAU data on all fiscal and programmatic indicators above to determine specific scores for each item for each SAU. Scores for these items are then aggregated into final fiscal and programmatic ratings for each SAU. The highest of the two ratings then determines the level of support to be provided to the SAU. SAUs are notified of their monitoring level

determination when Grant Award Notifications (GANs) are provided within the ESEA Consolidated Application.

## Monitoring Status Guidance

### Low – Level of Monitoring Support

This level of monitoring oversight includes 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 – Level of Additional Monitoring Support

This level of monitoring oversight includes all of the requirements outlined in Low Level Monitoring with the required additional submission of documentation during the three submission windows (Fall, Winter, Spring) throughout the year, in Grants4ME.

### High – Level of Additional Monitoring Support

This level of monitoring oversight includes all of the requirements outlined in Low Level and Medium-Level Monitoring, with the required submission of additional documentation during the three submission windows (Fall, Winter, Spring) throughout the year, in Grants4ME, and the potential for an on-site review as deemed necessary by the Maine DOE.

## Monitoring Submission Windows

In order to enhance the effectiveness in supporting a continuous improvement cycle, the ESEA Federal Programs Team has adopted a monitoring plan that includes additional monitoring requirements for SAUs with a Medium or High monitoring level. SAUs at these monitoring levels will have additional requirements to be completed throughout the year (Fall, Winter, & Spring) with specific items due when SAUs should already be focusing attention on them. This supports increased team capacity to provide additional guidance, support, and trainings in relation to specific requirements at the time of year when they are most relevant to SAUs.

The Submission, Review, Results, and Corrective Action timelines are outlined as follows:

<b>Timelines</b>	<b>District Submission</b>	<b>ESEA Team Review</b>	<b>Result &amp; Corrective Action</b>
Fall	1 <sup>st</sup> two weeks in October	2 weeks from SAU submission	30 days from the return of results to the SAU
Winter	1 <sup>st</sup> two weeks in January	2 weeks from SAU submission	30 days from the return of results to the SAU
Spring	1 <sup>st</sup> two weeks in April	2 weeks from SAU submission	30 days from the return of results to the SAU

## Submission of Required Documentation

Required documentation is submitted in the Grants4ME platform, which serves as the Department's online grant management system.

- [ESEA Monitoring Instrument Training - YouTube](#)
- [ESEA Monitoring Instrument FAQ](#)

The **ESEA Monitoring Instrument** outlines what items are required for each monitoring status within each submission window (Fall, Winter, and Spring). SAUs with a “medium” monitoring status need only respond to the medium monitoring items. SAUs with a “high” monitoring status must respond to all items (medium and high) within each submission window.

The **Monitoring Required Documentation** section within Grants4ME is activated prior to each submission window. The platform setup guides SAUs through questions in relation to each statutory requirement, the evidence required, document templates and/or links (if applicable), and an opportunity for the SAU to provide additional explanation as appropriate.

## Monitoring Fact Sheets

**Monitoring Fact Sheets** for each item within the ESEA Monitoring Instrument can be found on the Maine DOE [website](#).

Each **ESEA Monitoring FACTSHEET** includes the following:

- Monitoring Item Number and Title (directly corresponding to required item in Grants4ME ESEA Monitoring Instrument)
- Definitions (as applicable)
- Active links to Federal Statutory Requirements under the ESEA and the [Code of Federal Regulations \(CFR\)](#)
- General State Guidance
- Relevant Documentation
- Technical Assistance

## Monitoring Feedback

Typically, within two weeks of submission by the SAU, monitoring feedback will be provided directly in the monitoring instrument. The feedback provided for each required item will directly align with the following statuses:

- **Meets Requirements**: The SAU's submission for an individual item meets all of the necessary statutory requirements. No further action in relation to this item is required at this time.
- **Meets Requirements with Recommendations**: The SAU's submission for an individual item meets the necessary statutory requirements. However, important recommendations have been provided to help the SAU more clearly adhere to the applicable statutory requirements. The SAU must check the box for these item(s), indicating acknowledgment of and agreement to implement the Department's recommendation(s).
- **Does Not Meet Requirements**: The SAU's submission for an individual item does not meet all of the necessary statutory requirements. Feedback has been provided and updated documentation or an outlined Corrective Action Plan needs to be submitted within 30 days.
- **Items Without Ratings**: Items without ratings were not applicable to the SAU and therefore, not reviewed.
- **\*No Submission**: When no submission was received for required item, a status of "Does Not Meet Requirements" is assigned for that item.  
*\*Lack of responsiveness from the SAU may impact the continued availability of ESEA funding until requirements have been met.*

## Corrective Action Plans

In those instances where an SAU is unable to respond to a particular monitoring item or items within the 30-day timeline due to extenuating circumstances (i.e. an item needing school board approval, needing parent input, etc.), the SAU must submit a Corrective Action Plan (CAP) for the specific monitoring item(s). This means that, instead of leaving the LEA Response page blank within the SAU's ESEA Monitoring Instrument, the SAU must upload a document outlining a plan for how it will respond to the item and/or meet the requirement(s) within a reasonable time frame. The CAP can be submitted directly within the "Monitoring Results – LEA Response" page in Grants4ME as a temporary response for a particular monitoring item. All CAP submissions must include detailed plans (including action steps and timelines) for the completion and submission of the required documentation.



## On-Site Visits

The ESEA Federal Programs Team reserves the right to determine whether an on-site visit to an SAU is needed. Unless noted below (\*), a notification letter with a pre-determined date, time, and agenda will be sent to the SAU at least two weeks in advance. Some of the most relevant indicators for determining when an on-site visit is warranted include, but are not limited to a:

- High ESEA monitoring level
- Lack of communication or submission of required documentation and/or corrective action plan by the SAU
- Extenuating and/or unique situation within the SAU over the last 12-months that involves one or more ESEA programs
- \*Request from an SAU

## Communication is Key

As a pass-through entity, the Maine DOE is responsible for the oversight and monitoring of programs and activities carried out under the ESEA, as amended by the ESSA. Federal funds awarded under the ESEA are designed to support SAUs and schools in providing equitable learning opportunities for all students. Effective, efficient, and transparent communication between the SAUs and the ESEA Federal Programs Team is crucial in the successful implementation of ESEA programs and services across the State of Maine. The ESEA Federal Programs Team is intentionally structured to provide SAUs with direct connectivity to key personnel because that is one of the most effective, efficient and transparent practices we can provide for support to SAUs in meeting all of the required federal regulations.

It is with this same intentionality that monitoring support levels are determined from year to year. SAUs are expected to support these communication practices throughout the year in adherence to all requirements. Lack of communication can influence the potential of additional support that may or may not be needed, which can result in ineffective and inefficient practices. Supporting these efforts is not only appreciated but crucial.

Contact information for the ESEA Federal Programs Team can be found on the [Maine DOE website](#).