

## 2021-2022 Targeted Monitoring

New York State Education Department  
Office of ESSA-Funded Programs  
Room 320 EB  
89 Washington Avenue  
Albany, NY 12234

### 2021-2022 Targeted Monitoring Indicators and Evidence

The New York State Education Department uses the process of Targeted Monitoring (ESEA), as amended by the Every Student Succeeds Act (ESSA). This work follows up on the Consolidated Application for ESSA-Funded Programs that LEAs submit each year in order to fund programs under 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. Through the monitoring process, the Department seeks to verify that the LEA is following the programmatic and fiscal plans submitted in the Consolidated Application and maintaining compliance with the ESSA assurances embedded within the application.

The LEA should present evidence demonstrating compliance with each section of this review form. This form identifies evidence that should be submitted in order to meet each indicator. Please note the evidence list is not exhaustive; the district may have additional documentation or alternative documentation that may satisfy a particular indicator.

The LEA should upload all documents to the secure business portal by the requested due date. This will allow for ample review prior to the scheduled review meetings. For some indicators, compliance will be assessed through review of the Consolidated Application for ESSA Funded Programs in addition to staff interviews and document uploads. Please note: if the LEA does not have documentation for a particular indicator, the LEA may provide an explanation in the comment box and/or check the box requesting technical assistance.

**Section I – Programmatic Compliance**

**General Programmatic Compliance Requirements**

**INDICATOR**



### Targeted Assistance Program Requirements

INDICATOR	EVIDENCE
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1. LEAs with schools implementing Targeted Assistance Programs provided evidence that schools are providing services to eligible participating students.

- x LEA AIS/RTI Plan or description of methodology for identifying students at-risk academically, including any relevant data
- x A selection of AIS/RTI student lists

**Note:** For LEAs serving more than 10 Title I schools provide a sample of requested evidence for 25% or at least 2-3 schools.

**ESEA Section 1115(b)(2)**



3. Each Title I school conducts an annual Title I parent meeting which informs parents of their school's

## LEA Requirements

INDICATOR	EVIDENCE
1. A LEA that previously had focus or priority schools that were obligated to offer public school choice has provided students enrolled in the public school option, prior to 2018-19, the option to continue to enroll in that school until the student has completed the highest-	





Title I, Part D-Prevention and Intervention Programs for Children and Youth Who are Neglected, Delinquent, or At-Risk Requirements

INDICATOR	EVIDENCE
<p>1. The LEA has written formal agreement(s) with each locally operated neglected and/or delinquent facility outlining the programs and services to be provided and the roles and responsibilities of each entity (LEA, facility, BOCES, etc.) providing services to students with Title I, Part D funds.</p> <p><b>ESEA Section 1423(2) and 34 CFR 200.90(c)</b></p>	<p>x Signed written formal agreement for each facility, which must be for the 2021-22 school year.</p> <p><b>Note:</b> Agreements should spell out roles and responsibilities of each party (LEA, facility, BOCES)</p>

2. The LEA coordinates with facilities to ensure that children and youth are participating in an education program comparable to one operating in the local school such youth would attend.

- x Evidence of the curriculum provided/programming offered to students residing at the facility, AND/OR
- x Evidence of meetings between the LEA and the facility discussing the quality of the program, such as meeting agendas, sign in sheets, attendance lists, or minutes, AND/OR
- x Program evaluations conducted by the LEA

**Note:** If students at the facility are receiving their educational program at the r2.84 350.48 0.48 LEA, this indicator would not be applicable.

**ESEA Section 1423(3)**

## McKinney-Vento Homeless Education Program Requirements

INDICATOR	EVIDENCE
<p>1. The LEA has an enrollment policy and practice that ensures:</p> <ul style="list-style-type: none"> <li>X the immediate enrollment and full participation of children and youth experiencing homelessness in the LEA even though they may not have the documents normally needed for enrollment (e.g. proof of immunizations, proof of residency, birth certificate, school records, etc.), including students with IEPs; and</li> <li>X continued enrollment for students enrolled in the LEA who become homeless, including those students who are temporarily residing outside of the LEA's boundaries.</li> </ul> <p><b>42 U.S.C. 11432(g)(3)(A) &amp; 11432(g)(3)(C)(i)</b></p>	<ul style="list-style-type: none"> <li>x Updated, Board-approved LEA enrollment policy for youth experiencing homelessness. All policies must have been adopted after October 1, 2016, to be in compliance with amendments adopted under ESSA</li> <li>x If not detailed in the policy, provide specific procedures for immediate enrollment of students experiencing homelessness, including unaccompanied homeless youth, even if they are missing records</li> </ul> <p><b>Note:</b> Enrollment, Transportation, Dispute Process may all be included in a single policy: Education for Homeless Children and Youth. If the LEA policy is inclusive of these items, requested in items 2, 3, 4, and 5, you can upload the policy one time in this indicator.</p>
<p>2. The LEA has a transportation policy and practice that ensures:</p> <ul style="list-style-type: none"> <li>X transportation to the school of origin for students who are homeless, including for preschoolers who attend a preschool of origin, for the duration of homelessness, through the remainder of the school year in which the student becomes permanently housed, and possibly an additional year if it is the student's terminal grade;</li> <li>X transportation is provided to the school of origin up to 50 miles each way, even if such service is not available to students who are permanently housed, and</li> <li>X transportation for students who are homeless</li> </ul>	<ul style="list-style-type: none"> <li>x Updated, Board-approved LEA enrollment policy for youth experiencing homelessness. All policies must have been adopted after October 1, 2016, to be in compliance with amendments adopted under ESSA</li> <li>x Transportation policy</li> </ul> <p><b>Note:</b> Enrollment, Transportation, Dispute Process may all be included in a single (i.e. All-</p>

INDICATOR	EVIDENCE

INDICATOR	EVIDENCE
<p>5. The LEA provided evidence that young children experiencing homelessness are enrolled in pre-k, committee on preschool special education (CPSE) services, early intervention services, Head Start, Early Head Start, and other early care and education programs available in the community.</p> <p><b>42 U.S.C. 11432(g)(6)(A)(iii)</b></p>	<ul style="list-style-type: none"> <li>x Enrollment forms, referral logs, documentation of coordination of district early learning programs and community preschool supports, referrals for special services OR</li> <li>x List of children identified as homeless who are enrolled in the LEA's pre-k program or receiving CPSE services</li> </ul>
<p>6. The LEA demonstrated that all 11th and 12th grade students who are homeless receive individualized assistance from counselors to advise such youths and prepare and improve the readiness of such youths for college. A school guidance counselor or college counselor has verified that all 11<sup>th</sup> and 12<sup>th</sup> grade students identified as homeless have received individualized college counseling and college readiness services.</p> <p><b>42 U.S.C. 11432(g)(1)(K)</b></p>	<ul style="list-style-type: none"> <li>x Guidance plan for high school counselors and how they meet academic and college/career goals of students OR</li> <li>x Description of supports provided to high school students who are homeless to ensure they graduate on time AND</li> <li>x Schedules, calendars, of school counselors showing meetings with students experiencing homelessness</li> </ul>

### Foster Care Transportation Requirements

INDICATOR	EVIDENCE
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1. Evidence that the LEA has developed and implemented clear written procedures governing how transportation to maintain children in foster care in their school of origin whe8 (s)-14.9 (ch)>351.24 4.8 ( )0.7 3 (w)-8 (h)0.8 2eir b2.9 (g)s-4.2 ( 1 Tf 0.002 Tc1 0.004 Tw 0 -1.217i)2 (e)-75 (s)rores



## Title IV, Part A: Student Support and Academic Enrichment Requirements

INDICATOR	EVIDENCE
<p>1. The LEA has prioritized the distribution of funds to schools that:</p> <ul style="list-style-type: none"> <li>x are among the schools with the greatest needs as determined by such local educational agency, or consortium;</li> <li>x have the highest percentages or numbers of children counted under Section 1124(c);</li> <li>x are identified for comprehensive support and improvement under Section 1111(c)(4)(D)(i);</li> <li>x are implementing targeted support and improvement plans as described in Section 1111(d)(2); or</li> <li>x are identified as a persistently dangerous public elementary school or secondary school under Section 8532.</li> </ul>	<ul style="list-style-type: none"> <li>x District data analysis demonstrating the determination of prioritized needs such as one of the criteria identified under section 4106(e)(2)(A) listed in the indicator               <ul style="list-style-type: none"> <li>x Examples of evidence by bullet:                   <ul style="list-style-type: none"> <li><i>f</i> A formal comprehensive needs assessment for LEAs with an allocation of over \$30,000 and a needs assessment for all other LEAs</li> <li><i>f</i> Poverty count by school</li> <li><i>f</i> Needs assessment performed for TSI and CSI schools</li> <li><i>f</i> School Safety and Educational Climate (SSEC) Summary Data Collection Form that collects School Violence Index data.</li> </ul> </li> </ul> </li> <li>x School building level Title IV allocations that demonstrate the prioritization of the distribution of funds</li> </ul>

### **ESEA Section 4106(e)(2)(A)**

**Section II– Equitable Services to Private Schools Compliance**

**General Equitable Services Requirements**

INDICATOR	EVIDENCE
<p>1. The LEA engaged in timely, meaningful and ongoing consultation with appropriate private school officials with the goal of reaching agreement about the use of funds, and provided the equitable calculation of the private schools’ allocation.</p> <p><b>ESEA Section 1117(a)(1) and (b)(1,3)</b>  <b>ESEA Section 8501(a)(3)(A), (a)(4)(C), and (c)(1)</b></p>	<p>x Evidence of initial and ongoing consultation with private schools, such as meeting minutes, emails, call logs, letters, and presentation materials regarding the use of services funded by Title IA, IIA, IIIA, and IVA</p> <p>x</p>



INDICATOR	EVIDENCE
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4. Services, such as professional development, were delivered by employees of a public agency or through contract by the public agency with an individual, association, agency, organization, or other entity.

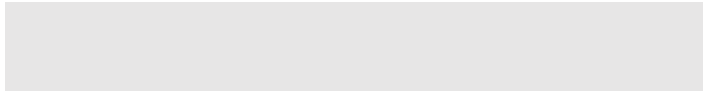
Section III: Fiscal Compliance

General Fiscal Requirements

INDICATOR	EVIDENCE
<p>1. Job duties, work schedules, and/or activity records verify that the number and types of [ESSA] funded personnel match project budgets and, if applicable, the corresponding FTE and job duties in the approved application and FS-10.</p> <p><b>2 CFR 200.430</b></p>	<p>x Work schedules, payroll records, expenditure reports, job descriptions for staff funded by Titles IA, ID, IIA, IIIA, IVA, and VB</p>

2. Payroll documentation in the LEA records are

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Title I, Part A Fiscal Requirements

INDICATOR	EVIDENCE
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Title I, Part D Fiscal Requirements

INDICATOR	EVIDENCE
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## Title II, Part A Fiscal Requirements

INDICATOR	EVIDENCE
<p>1. The LEA has demonstrated that Title IIA funds supplement, and do not supplant, non-Federal funds that would otherwise be used for activities authorized under this title.</p> <p><b>ESEA Section 2301</b></p>	<ul style="list-style-type: none"> <li>x Documentation, which may include payroll records, invoices, or purchase orders, that demonstrate the funded activity was not previously funded out of state or local funds</li> <li>x To overcome a presumption of supplanting, provide evidence the LEA does not have funds to implement state or local mandated activities being funded out of federal dollars</li> </ul>

2.







## APPENDIX A: ESEA Funded Program Assurances

### Section 8306 Assurances

1. The LEA will administer programs in accordance with all applicable statutory and regulatory requirements that govern its uses. SEC. 8306. [20 U.S.C. 7846](a)(1)
2. The control of funds provided under such programs and title to property acquired with program funds will be in a public agency or in an eligible private agency, institution, organization, or Indian Tribe, if the law authorizing the program provides for assistance to those entities. SEC. 8306. [20 U.S.C. 7846](a)(2)(A)
3. The public agency, eligible private agency, institution, or organization, or Indian Tribe will administer the funds and property to the extent required by authorizing statutes. SEC. 8306. [20 U.S.C. 7846](a)(2)(B)
4. The applicant will adopt and use proper methods of administering each such program, including the enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program. SEC. 8306. [20 U.S.C. 7846](a)(3)(A)
5. The applicant will adopt and use proper methods of administering each such program, including the correction of deficiencies in program operations that are identified through audits, monitoring or evaluations. SEC. 8306. [20 U.S.C. 7846](a)(3)(B)
6. The LEA assured that the applicant will cooperate in carrying out any evaluations of each such program conducted by or for the state education agency, the Secretary, or other federal officials. SEC. 8306. [20 U.S.C. 7846](a)(4)
7. The LEA assured that the applicant will use fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, federal funds paid to the applicant under such program. SEC. 8306. [20 U.S.C. 7846](a)(5)
8. The LEA assured that the applicant will submit such reports to the state education agency (which will make the reports available to the Governor) and the Secretary as the state educational agency and the Secretary may require to enable the State educational agency and the Secretary to perform their duties under each such program. SEC. 8306. [20 U.S.C. 7846](a)(6)(A)
9. The LEA assured that the applicant will maintain such records, provide such information, and afford such access to the records as the state educational agency (after consultation with the Governor) or Secretary may reasonably require to carry out the state educational agency's or the Secretary's duties. SEC. 8306. [20 U.S.C. 7846](a)(6)(B)
10. The LEA assured that, before the application was submitted, the applicant afforded a reasonable opportunity for public comment on the application and considered such comment. SEC. 8306. [20 U.S.C. 7846](a)(7)

## State and Federal Assurances

### Supplement Not Supplant

1.



- (E) an assurance that the local educational agency will comply with Section 8501 (regarding participation by private school children and teachers); and
  - (F) an assurance that the local educational agency will coordinate professional development activities authorized under this part with professional development activities provided through other Federal, State, and local programs.
11. The LEA assures that it will comply with all applicable laws and regulations regarding professional development, including but not limited to 20 U.S.C. 6612, 20 U.S.C. 6613, and 8 NYCRR Section 100.2(dd).

**Title IV Assurances**

- 12. ESSA Section 4001(a)(1)(A) requires that an LEA obtains prior written, informed consent from the parent of each child who is under 18 years of age to participate in any mental-health assessment or service that is funded under this title and conducted in connection with an elementary school or secondary school under this title.
- 13. ESSA Section 4001(a)(1)(B) requires that an LEA, before obtaining the written consent described in the previous assurance (Item #14), has provided the parent written notice describing in detail such mental health.1 (l )1 (6e)-7.1 (d)4 (t)-6.3 (e)-7.12 16.4 01nrngd.8 (e)-7.1 ( )-1.1 (n)0.8 (-14.3 (f3 (a)-0.8 (

## **Migrant Education Program Assurances**

16. The LEA assured that, to the extent that it has migrant-eligible students as evidenced by their Certificates of Eligibility (COEs) issued by the Statewide Identification & Recruitment/MIS2000/MSIX

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## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Education Department Program Contact listed in the Application. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, and by signing the Application Cover Page, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State,

8.

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**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER  
RESPONSIBILITY MATTERS**

These certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

**1. LOBBYING**



### 3. DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION – LOWER TIERED COVERED TRANSACTIONS

The terms “debarment,” “suspension,” “excluded,” “disqualified,” “ineligible,” “participant,” “person,” “principal,” “proposal,” and “voluntarily excluded” as used in this certification have the meanings set forth in 2 CFR Part 180, Subpart I, “Definition.” A transaction shall be considered a “covered transaction” if it meets the definition in 2 CFR Part 180 Subpart B, “What is a covered transaction?”

A. The applicant certifies that it and its principals:

- (a) Upon approval of their application, in accordance with 2 CFR Part 180 Subpart C, they shall not enter into any lower tier nonprocurement covered transaction with a person without verifying that the person is not excluded or disqualified unless authorized by USDOE.
- (b)

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New York State Department of Education  
ELEMENTARY AND SECONDARY EDUCATION ACT (ESEA) Assurances

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These assurances are required for programs funded under the Elementary and Secondary Education Act as amended by the Every Student Succeeds Act of 2015.

As the chief school officer of the applicant, by signing the Application Cover Page, I certify that:

- 1.