
Monitoring of ESEA Consolidated Programs

School Year: 2009-10

— Guidance Document for Consortia —



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(This document can also be found on the Department of Public Instruction's Web site at:
<http://dpi.wi.gov/esea/pdf/monitoring-guidance-consortia.pdf>)

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The Department of Public Instruction (DPI) has oversight and monitoring responsibilities to review compliance within the federal Elementary and Secondary Education Act (ESEA) consolidated programs including Title I, Part A; Title I, Part C; Title I, Part D; Title II, Part A; Title II, Part D; Title III, Part A; Title IV, Part A, Title V, Part A. The oversight and monitoring process includes an extensive review and approval process for all ESEA Consolidated Applications submitted by school districts/consortia. In addition, this process will include a combination of on-site and phone reviews. This document is designed to provide guidance to districts on the on-site and phone review process.

On-Site/Phone Monitoring Process

A combination of on-site and phone monitoring will be conducted each year in randomly selected districts. Each year, DPI will monitor approximately four districts in each of four CESA regions. In addition, one consortium project will be monitored within each of the selected CESAs. One- to two-day monitoring reviews will be held in the district office of each of the selected districts. Small teams of DPI staff will conduct the reviews. Districts/consortia will receive notification at least six weeks in advance of their scheduled visit, including logistical information, an agenda, and the monitoring guidance document (which can be found at <http://www.dpi.wi.gov/eSEA/pdf/monitoring-guidance.pdf> or <http://www.dpi.wi.gov/eSEA/pdf/monitoring-guidance-consortia.pdf>).

Monitoring reviews will cover broad or consolidated requirements—that is, common requirements across all Titles—as well as requirements specific to individual Title programs. The reviews are not intended to be exhaustive or to ensure compliance with each and every requirement within the law. Rather, they are to verify compliance with items included within the Application Requirements Checklist, which is part of the application process for ESEA Consolidated Program funding and major program requirements within Title I; Title II, Part A; Title II, Part D; Title III, Part A; Title IV, Part A; and Title V, Part A. *Note – only Titles under which the district/consortium receives funds will be reviewed.*

The monitoring reviews will be divided into two main parts:

1. The **Consolidated Requirements** review will be based upon the Application Requirements Checklist (PI-9550-W) which is part of the ESEA Consolidated Application process through DPI. Each district applying for funds under the Consolidated Application is required to complete this checklist, and documentation of evidence of compliance with these requirements are to be kept on file at the district. DPI program staff will be verifying that the district/consortium met the following general requirements:

If an Individual District is Monitored	If a Consortium is Monitored
1) Needs Assessment	1) Needs Assessment
2) Private School Consultation	2) Private School Consultation
3) Parent and Community Participation and Involvement	3) Written Plan
4) Integration with Federal Programs and Initiatives	
5) Integration with State and Local Initiatives	
6) Professional Development Plan	
7) Public Reporting and Parents' Right to Know	

2. The **Individual Program Requirements** review will cover the major requirements within Title I (including requirements for districts with schools identified for improvement, if applicable); Title II, Part A; Title II, Part D; Title III, Part A; Title IV, Part A; and Title V, Part A. *Note – only Titles under which the district/consortium receives funds will be reviewed.*

Report/Results

Preliminary findings will be presented to districts/consortium fiscal agent at the conclusion of the monitoring review. A formal written report will be sent to districts/consortium fiscal agent within six weeks after the review. The formal report will include strengths, weaknesses, any corrective action necessary, and offer for technical assistance, if needed.

Staff Contacts for ESEA Grant Programs

Updated: April 1, 2010

Consolidated Programs (Entitlements)

Program	Name	Phone	E-mail
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Title II, Part A—Teacher and Principal Training and Recruiting	Abdallah Bendada	608-267-9270	abdallah.bendada@dpi.wi.gov
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Title III, Part A, Subpart 1—English Language Acquisition and Language Enhancement	Jacqueline Iribarren	608-266-7292	jacqueline.iribarren@dpi.wi.gov
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Consolidated Requirements

1. Needs Assessment

REQUIREMENT: Comprehensive needs assessments (i.e. student achievement, staff development) which support the ESEA funded program goals.

A comprehensive needs assessment process must be employed to identify indicators of need in selected areas of concern related to student learning, to analyze the “gaps” between “what is” and “what should be,” to prioritize needs, and to identify potential solution strategies to meet those needs. Needs assessment requirements in the law are as follows:

Title	Requirement
Title II, Part A	Fiscal agents, in conjunction with participating LEAs, shall conduct an assessment of consortium member’s needs for professional development and hiring, as identified by the consortium, LEA, and staff. Sec. 2122
Title II, Part D	All consortium members, including the fiscal agent, are required to develop technology plans based on data from current needs assessment. Sec. 2414
Title III, Part A	All consortium members are required to annually assess the English proficiency of all limited English proficient children participating in a program funded under this subpart, consistent with section 1111 (b)(7). Sec. 3113 (b)(3)(D)
Title IV, Part A	All consortium members are required to develop programming based on an assessment of objective data regarding the incidence of violence and illegal drug use in schools and communities to be served, including private school students who participate in the drug and violence program. Sec. 4115 (A)(1)(A)
Title V, Part A	Consortia are required to allocate funds for Title VA based on locally-identified needs. Consortia should identify the needs of the participating LEAs according to the 27 innovative assistance areas listed in the law to serve educational needs they have identified. LEAs should identify their needs and then allocate funds based on these educational needs. Sec. 5133 (b)(1)

Consolidated Requirements

Guiding Questions for Needs Assessment Review

- 1.1 If the consortium manages Title II, Part A funds, what needs were identified related to professional development and class sizes and how did those needs influence the allocation of ESEA funds for programs? Does the consortium have any teachers that are not yet highly qualified by the NCLB definitions? If so, how are their needs being addressed in the program plan?

Possible evidence includes:

- Teacher surveys
- Parent surveys
- ESEA Consolidated Application Program Plan
- ESEA Applications/Title I Reservations page

- 1.2 If the consortium manages Title II, Part D funds, what needs were identified related to technology for consortia members? How were funds being utilized to meet those needs?

Possible evidence includes:

- enGauge
- Student surveys
- Technology surveys
- ESEA Consolidated Application Program Plan

- 1.3 If the consortium manages Title III, Part A funds, how were the academic and English language skills measured for ELLs in the consortium? How was that information used to determine how Title III funds were utilized?

Possible evidence includes:

- Language proficiency assessment data
- Other

- 1.4 If the consortium manages Title IV, Part A funds, did the participating LEAs review objective data regarding the incidence of violence and illegal drug use in schools and communities? How was this information used to determine how funds were utilized?

Possible evidence includes:

- District surveys
- Program surveys
- School surveys

2. Private School Consultation

REQUIREMENT: All participating LEAs engage in timely and meaningful consultation with all private schools in its area regarding funds available under the ESEA to address the needs of the private school students and staff members.

Guiding Questions for Private School Consultation Review

- 2.1 What process does the consortium and participating districts use for communicating with the private schools regarding their right to benefit from ESEA funds? What is the timeline?

Possible evidence includes:

- Letter(s) of notification
- Agenda(s) from meetings
- Sign-on/sign-off sheet from every private school in the district, or other form of written verification that indicates intent to participate or not participate in eligible ESEA entitlement programs.
- Other

- 2.2 How were the academic needs of private school students identified? Who participated in the process?

Possible evidence includes:

(This evidence is required when private school students are served under Title I)

- Written documentation on how the district consulted with private school officials during the design and development of programs offered on issues such as:
 - o assessment instruments used to measure student performance
 - o determination of services to be offered to identified students
 - o how, where, and by whom services will be offered
 - o the size and scope of the services to be provided
 - o how the academic gains will be assessed
 - o the amount of funds available for the services

- 2.3 How were the professional development needs of private school staff identified? Who participated in the process?

Possible evidence includes:

- Meeting agendas and minutes

Consolidated Requirements

- Letters and/or records of phone conversations and e-mails to private schools with information on services and funding
- Other written documentation on how the district consulted with private school officials during the design and development of programs offered on issues such as:
 - what services will be offered that meets the needs of both entities
 - how, where, and by whom services will be offered
 - how the effectiveness of the services will be measured
 - the amount of funds available for the services

2.4 What items in the Consolidated Program Plan of the ESEA application identify activities or services being coordinated by the districts for the benefit of private school staff or students?

Possible evidence includes:

- Example from the Program Plan

2.5 If any funds were transferred between Titles, how was the transfer communicated with private schools?

Possible evidence includes:

- Meeting agendas and minutes
- Letters and/or records of phone conversations and e-mails to private schools with information on services and funding

2.6 What process do the participating districts use to appropriately manage the ESEA funds under each Title that are available for the benefit of staff and students in participating private schools? How do the districts ensure the services are supplemental, secular, neutral, and non-ideological?

Possible evidence includes:

- Copies of purchase orders and inventory lists
- Service agreements
- Description of private school needs, monitoring activities, and other documentation to verify that the district manages and monitors the programs and services provided with federal funds
- Other

2.7 How do the participating districts plan to evaluate the services and programs for private schools funded with ESEA this year to determine if they were effective in addressing the identified needs?

Possible evidence includes:

- Evaluation plan aligned with the agreed upon standards and measures.

Consolidated Requirements

- Verification of private school representatives' involvement
- Methods used for sharing results with appropriate parties
- Methods used to determine effectiveness of Title I services
- Other

Consolidated Requirements

3. Written Plan

REQUIREMENT: After consultation with participation consortium members, a written plan(s) or agreement(s) must exist that:

- a. Describes the programs and services each participating member will receive.
- b. Describes program goals, including activities and services, signatures of participating members, and a budget detailing expenditures.
- c. Describes how unexpended funds (carryover funds) will be reallocated to member districts.
- d. Describes how the fiscal agent will control and monitor the expenditure of funds.

Guiding Questions for Written Plan Review

- 3.1 What programs and services does each participating member of the consortium receive?
- 3.2 What are the program goals, activities, and services?
- 3.3 How will unexpended funds be reallocated to member districts?
- 3.4 How will the fiscal agent control and monitor the expenditure of funds?

Possible evidence includes:

- Program plan from the consolidated application
- Letters and/or records of phone conversations and e-mails to consortium members with information on services and funding.
- Written agreements between consortium members and fiscal agents that detail
 - i. What services will be offered to consortium members
 - ii. How, where, and by whom services will be offered
 - iii. How the services will be assessed
 - iv. The size and scope of the services to be provided
 - v. The amount of funds available for the services
 - vi. Description of how carryover funds will be reallocated
- Other

Individual Program Requirements

4. Title II, Part A—Teacher & Principal Training & Recruiting Fund

Purpose

The purpose of this grant is to increase the student academic achievement through strategies such as improving teacher and principal quality and increasing the number of highly qualified teachers in the classrooms and highly qualified principals in the schools. The selected goals may be directly related to the school district requirements of Chapter PI 34 of the Wisconsin Administrative Code. Districts may also use these funds to recruit and hire highly qualified teachers.

The law requires all teachers covered by Title I to be fully certified by January 8, 2006. It requires that districts have an annual plan with targets to have **all teachers fully licensed by the end of the 2005-06 school year**. The law also requires districts to target funds to schools that have the lowest proportion of highly qualified teachers, have the largest average class size, or are identified for improvement.

Individual Program Requirements

Title II, Part A – Teacher & Principal Training & Recruiting Fund

Guiding Questions for Title II, Part A Review

REQUIREMENT: The participating LEAs have all core academic area teachers highly qualified. The participating LEAs have all teachers who are hired to reduce class size meet the highly qualified status. The participating LEAs have plans to ensure that minority and disadvantaged students are not taught by unqualified teachers.

- 4.1 Do the participating LEAs have a policy or other process to ensure that all new hires for teachers meet the NCLB requirements prior to employment?
- 4.2 Do the participating LEAs have plans to ensure that all core academic teachers are highly qualified?
- 4.3 Are teachers that were hired to reduce class size highly qualified (regardless of hire date)?
- 4.4 Do the participating LEAs have plans to ensure that the minority students and students from low-income families are not taught at a higher rate than other students by unqualified teachers?

Possible evidence includes:

- Description of the plan
- Documentation showing that the funds used for class size reduction are used to pay highly qualified teachers only
- Teacher assignments plan
- Names and credentials of a sample of teachers

REQUIREMENT: The participating LEAs use funds under Title IIA to target schools with the lowest percentage of the highly qualified teachers, the highest average class size and schools that were identified for improvement. All activities and initiatives including the class size reduction must be evaluated using scientific research basis.

- 4.5 What process do the participating LEAs have to ensure that all funds are targeting schools that have the lowest proportion of highly qualified teachers, have the largest average class size, or are identified for improvement?
- 4.6 What process do the participating LEAs use to measure the impact of reducing class size on student achievement?

Individual Program Requirements

Possible evidence includes:

- Documentation showing the use of funds to address the needs
- Evaluation plan to measure the impact of class size reduction on student achievement

REQUIREMENT: All activities must be based on needs assessment and are directly related to student achievement. Purchase of materials under this program must be related to professional development only.

- 4.7 Provide an example to illustrate how Title IIA expenditures were directly related to the approved budget and items in the ESEA Consolidated Program Plan?
- 4.8 Describe the services provided by the CESA.
- 4.9 Were the purchases of equipment under the current program associated with professional development activities?

Possible evidence includes:

- Purchase orders
- Contracts
- Reports/summaries of the services and outcomes
- Other documentation indicating the delivery and effectiveness of the purchased services

Individual Program Requirements

5. Title II, Part D—Enhancing Education through Technology

Goals

The primary goal of the Enhancing Education through Technology (Ed Tech) program is to improve student academic achievement through the use of technology in elementary and secondary schools. It is also designed to assist every student— regardless of race, ethnicity, income, geographical location, or disability— in becoming technologically literate by the end of eighth grade, and to encourage the effective integration of technology resources and systems with professional development and curriculum development to promote research-based instructional methods that can be widely replicated.

Purpose

The purposes of the Ed Tech program are to:

- Assist states and localities in implementing and supporting a comprehensive system that effectively uses technology in elementary and secondary schools to improve student academic achievement.
- Encourage the establishment or expansion of initiatives (including those involving public-private partnerships) that are designed to increase access to technology, particularly in schools served by “high-need local educational agencies.”
- Assist states and localities in the acquisition, development, interconnection, implementation, improvement, and maintenance of an effective educational technology infrastructure in a manner that expands access of technology to students (particularly disadvantaged students) and teachers.
- Support initiatives that enable school personnel and administrators to integrate technology effectively into curriculum and instruction that are aligned with state standards, through such means as high-quality professional development programs.
- Enhance ongoing professional development for teachers, principals, and administrators by providing ongoing access to training and updated research in teaching and learning through electronic means.
- Support the development and use of electronic networks and other innovative methods, such as distance learning, to provide specialized or rigorous courses or curricula to students who would not otherwise have access to such information, particularly to those in geographically isolated regions.
- Support local efforts to use technology to promote parent and family involvement in education and to enhance communication among students, parents, teachers, principals, and administrators.
- Support the rigorous evaluation of programs funded under Title II Part D, particularly identifying the conditions under which educational technology raises student academic achievement, and ensuring that the results are widely accessible through electronic means.

Individual Program Requirements

Title II, Part D – Enhancing Education through Technology

Guiding Questions for Title II, Part D Review

REQUIREMENT: All participating LEAs have a current and certified technology plan or combined information and technology plan.

- 5.1 What are the dates the current Information and Technology Plans expire and how are the districts monitoring progress to keep the plans current and relevant?

Possible evidence includes:

- Evaluation process for current plan
- Timeline for the next plan
- Procedure for the next plan
- Other

REQUIREMENT: All participating LEAs must provide high quality professional development in the area of technology integration.

- 5.2 How do the participating LEAs provide high quality professional development in the area of technology integration? What kinds of professional development opportunities are provided? How do the participating LEAs ensure that staff attending professional development activities use their new knowledge in the classroom?

Possible evidence includes:

- Descriptions of professional development activities
- Attendance lists of professional development activities
- Fiscal records of these activities, such as purchase orders and contracts
- Other

REQUIREMENT: All participating LEAs have completed full integration of technology throughout the curriculum based on Wisconsin Model Academic Standards (WMAS)¹.

- 5.3 Have the participating LEAs completed a full integration (Pk-12) of technology throughout the curriculum based on Wisconsin Model Academic Standards (WMAS)? Do the districts have documents to show this integration? How do the districts check to

¹ Wisconsin Model Academic Standards for Information and Technology Literacy should be integrated with the WMAS for the content areas.

Individual Program Requirements

ensure that the integration takes place? Is there a process that uses data to review the integration model and its coverage?

REQUIREMENT: All participating LEAs have a plan for the evaluation of students to demonstrate technological literacy by the end of eighth grade.

- 5.4 What are the participating LEAs' plans for the evaluation of students in order to demonstrate technological literacy by the end of eighth grade? (Be specific as the method of assessing or monitoring and how data is stored and used to check for curriculum continuity). Do the participating LEAs have data to support its evaluation findings?

Possible evidence includes:

- Curriculum maps
- Curriculum benchmarks
- Assessment tools
- Evidence of student achievement
- Other

REQUIREMENT: Districts must expend funds based on an approved plan.

- 5.5 Can the participating LEAs provide an example to illustrate how Title IID expenditures were directly related to the approved budget and items in the ESEA Consolidated Program Plan?
- 5.6 Do the participating LEAs use any Title IID funds to purchase services from providers? If so, can the district describe the services received?

Possible evidence includes:

- Purchase orders
- Contracts
- Reports/summaries of the services and outcomes
- Other documentation indicating the delivery and effectiveness of the purchased services

REQUIREMENT: All participating LEAs in the consortium have a description of how they will coordinate activities carried out with funds provided under this subpart with technology-related activities carried out with funds available from other federal, state, and local sources.

Possible evidence includes:

- District documentation
- Consortium summary of district activities
- Funding coordination chart for each district

Individual Program Requirements

Other

Individual Program Requirements

6. Title III, Part A—Language Instruction for Limited English Proficient (LEP) and Immigrant Students

Purpose

1. to help ensure that children who are limited proficient (LEP), including immigrant children and youth, **attain English proficiency, develop high levels of academic attainment in English, and meet the same challenging State academic content and student academic achievement standards** as all children are expected to meet;
2. to assist all limited English proficient children, including immigrant children and youth, to **achieve at high levels in the core academic subjects** (English, reading or language arts, math, science, history, civics and government, geography, economics, the arts, and foreign language) so that those children can meet the same challenging State academic content and student academic achievement standards as all children are expected to meet
3. to assist State educational agencies, local educational agencies, and schools in teaching limited English proficient students and serving immigrant children and youth:
 - to develop high-quality language instruction educational programs;
 - to develop and enhance their capacity to provide high-quality instructional programs designed to prepare limited English proficient children, including immigrant children and youth, to enter all-English instruction settings;
 - to build their capacity to establish, implement, and sustain language instruction educational programs and programs of English language development for limited English proficient children;
4. to promote parental and community participation in language instruction educational programs for the parents and communities of limited English proficient children;
5. to hold State educational agencies, local educational agencies, and schools accountable for increases in English proficiency and core academic content knowledge of limited English proficient children by:
 - (A) demonstrated improvements in the English proficiency of limited English proficient children each fiscal year; and
 - (B) adequate yearly progress for limited English proficient children, including immigrant children and youth; and
6. to provide State educational agencies and local educational agencies with the flexibility to implement language instruction educational programs, based on scientifically based research on teaching limited English proficient children, that the agencies believes to be the most effective for teaching English.
7. To ensure meaningful consultation with appropriate private school officials, and provide educational services to limited English proficient (LEP) students and educational personnel in private schools that are located in the geographic area served by the LEA.

Individual Program Requirements

Title III, Part A – Language Instruction for Limited English Proficient (LEP) and Immigrant Students

Guiding Questions for Title III, Part A Review

REQUIREMENT: Consortia must use funds to increase the English proficiency levels of LEP students by providing high quality language instruction educational programs that are based on scientifically based research with demonstrated effectiveness in increasing: 1) English language proficiency and 2) student academic achievement in the core academic subjects:

- 6.1 How did the participating LEAs and the consortium develop and implement an ESL or bilingual education program, or expand an existing program for English language learners at the early childhood and K-12 levels?

Possible evidence includes:

- Needs Assessment of individual school districts
- District/School Plan
- Research review of programs
- Example School Improvement Plans
- Other

- 6.2 How did the consortium determine that the program is increasing English language proficiency and student academic achievement in the core academic subjects?

Possible evidence includes:

- Assessment Results
- Data Retreat
- Plan Assessment & Outcomes
- Other

REQUIREMENT: All English language learners in grades K-12 must be annually assessed for English language proficiency

- 6.3 How did the consortium ensure that all ELLs are being assessed for English language proficiency?

Possible evidence includes:

- Test Results

Individual Program Requirements

- Parental Communication
- Communication with districts
- Other

REQUIREMENT: Parents must be notified of the education program the student is being offered: 1) for a student who is new to the LEA, and 2) for a continuing student with the following required notification:

- a. The reasons for identifying their child as being limited-English proficient (LEP) and for placing their child in a language instruction educational program for LEP students
 - b. The child's level of English proficiency as measured by the *ACCESS*
 - c. The method of instruction that will be used in the program, including a description of alternative programs
 - d. How the program will meet the educational strengths and needs of the child
 - e. How the program will help the child learn English and meet academic achievement standards for grade promotion and graduation
 - f. The program exit requirement, including the expected rate of transition from the program to an English-language mainstream classroom and the expected rate of graduation from secondary school
 - g. How the program will meet the objectives of an individualized education program for a child with a disability
 - h. The parents' rights in writing, including (A) the right to have their child immediately removed from a language instruction educational program on their request; and (B) the options that parents have in declining enrollment of their child in such a program or in choosing another program or method of instruction, if available; and (C) written guidance assisting parents in selecting among various programs and methods of instruction, if more than one program or method is offered.
- 6.4 What process does the consortium have in place for students who have been enrolled in the LEA/consortium since the previous school year?
- 6.5 How does the consortium inform parents of the educational offering within 30 days of being assessed for LEP?
- 6.6 For new enrollees, what process does the consortium have in place to provide parental notifications within two weeks of a child being placed in a program?
- 6.7 How does the consortium ensure that the information provided to parents is in an understandable and uniform format and, to the extent practicable, in a language that the parent can understand?

Possible evidence includes:

- Parent Letter
- Individual Student Educational Plan
- Brochure

Individual Program Requirements

Other

Individual Program Requirements

REQUIREMENT: Consortia must submit to the state a description of the progress made by students in meeting challenging state academic content and student academic achievement standards for each of the 2 years after such children are no longer receiving services under Title III.

- 6.8 What process does the consortium have in place to monitor ELL students that have reached English language proficiency (Level 6), known as former limited-English proficient students, for a two year period?
- 6.9 What process does the consortium have in place for reporting monitored students' progress?

Possible evidence includes:

- Individual Educational Record
- Data System
- Other

REQUIREMENT: Consortia must hold elementary and secondary schools receiving funds accountable for: 1) meeting AMAOs, 2) making adequately yearly progress (AYP), and 3) annually measure English proficiency of LEP students.

- 6.10 Describe the plan to hold schools accountable for meeting AMAOs, annual language proficiency assessment, and Title I AYP.
- 6.11 What processes does the consortium have in place to verify DPI's data on your consortium AMAO status?
- 6.12 What system does the consortium have in place for parental notification regarding your consortium failed AMAOs status, as required by Title III, within 30 days after the failure occurs?

Possible evidence includes:

- District/consortium AMAO calculations
- AMAO Parental Sample Letter
- Newsletters
- School Improvement Plan
- Other

Individual Program Requirements

REQUIREMENT: Teacher English language fluency

- 6.13 How does the consortium ensure that teachers are fluent in English that work in a language instructional program for English language learners?

Possible evidence includes:

- District test
- District Document
- Human Resource Policy
- Other

REQUIREMENT: Consortia must expend funds based on an approved plan.

- 6.14 Can the consortium provide an example to illustrate how Title IIIA expenditures were directly related to the approved budget and items in the ESEA Consolidated Program Plan?
- 6.15 Does the consortium use any Title IIIA funds to purchase services from providers? If so, can the district describe the services received?

Possible evidence includes:

- Purchase orders
- Contracts
- Reports/summaries of the services and outcomes
- Other documentation indicating the delivery and effectiveness of the purchased services

Individual Program Requirements

7. Title IV, Part A—Safe & Drug-Free Schools & Communities

Purpose

The intent of Title IVA programming is to fund activities that are coordinated with other school and community-based services and programs that foster a safe and drug-free learning environment that supports academic achievement. Programs must:

- Be consistent with the Principles of Effectiveness;
- Be designed to prevent or reduce violence, the use, possession, and distribution of illegal drugs, and delinquency;
- Create a well-disciplined environment which includes consultation between teachers, principals, and other school personnel to identify early warning signs of drug use and violence and to provide behavioral interventions as part of classroom management efforts
- Include activities to promote the involvement of parents, coordination with community groups and government agencies, distribution of information about the district's needs, goals, and SDFSC programs.

Individual Program Requirements

Title IV, Part A – Safe & Drug-Free Schools & Communities

Guiding Questions for Title IV, Part A Review

REQUIREMENT: The consortium has developed its Title IV program following the Principles of Effectiveness which include:

The program is based on a needs assessment.

- 7.1 What assessment processes did the consortium use to determine your needs and programming for alcohol, drug, and violence prevention?
- 7.2 Did all participating LEAs, as well as participating private schools complete the needs assessment(s)?

**Possible evidence includes:*

- Documents used for assessment (surveys, data summaries, etc.)
- Process used to evaluate data
- Documents describing the methods used for assessment
- Results of needs assessment
- Other

*Note that evidence should reflect that all participating LEAs participated in the related needs assessment(s).

The program is based on an established set of performance measures for drug abuse and violence prevention that identifies specific reductions in identified risk factors and/or increases in protective factors. The programs and activities implemented or planned are reasonable for achieving those objectives. Activities should include consultation between teachers, principals, and other school personnel to identify early warning signs of drug use and violence and to provide behavioral interventions as part of classroom management efforts. Parent involvement in the program is promoted.

- 7.3 What are the current performance measures for AOD and violence prevention, and what programs and activities are involved in achieving those measures for the consortium?
- 7.4 How are all participating LEAs involved?
- 7.5 How are parents involved?

Possible evidence includes:

- List of performance measures for drug abuse prevention

Individual Program Requirements

- List of performance measures for violence prevention
- Documentation of activities addressing the performance measures including and parent involvement
- Other

All curricula and strategies used have either been shown to be effective through scientifically based research or the consortium fiscal agent or individual member district has applied for a waiver to allow for innovative programming, and are following the requirements of such.

Programs will be evaluated periodically (maximum period of two years) to assess progress toward reducing violence and illegal drug use using the identified objectives and the results of that evaluation will be used to refine, improve, and strengthen program effectiveness. This evaluation shall be made available to the public upon request, with public notice of such availability provided.

- 7.6 ESEA calls for the grantee to conduct periodic evaluations of the effects of the programming, in order to refine and improve program effectiveness. Please describe how the programs have been evaluated.
- 7.7 What changes, if any, have been made over the past year, in order to refine or improve the program impacts?
- 7.8 How has the consortium made evaluation data available to the public?

Possible evidence includes:

- Verification of scientifically based program research
- List of programs used
- Sufficient data collection plan to fulfill waiver requirements
- Outline of process and activities used for evaluation
- Documentation of results of evaluation (outcomes should include changes in students' attitudes, beliefs, knowledge and/or behaviors)
- Documentation of plan for public notice of evaluation results
- Other

REQUIREMENT: Grantees must expend funds based on an approved plan.

- 7.9 Can the consortium or participating LEAs provide examples to illustrate how Title IVA expenditures were directly related to the approved budget and items in the ESEA Consolidated Program Plan?
- 7.10 Does the consortium or participating LEAs use any Title IVA funds to purchase services from providers? If so, describe the services received.

Possible evidence includes:

Individual Program Requirements

- Purchase orders
- Contracts
- Reports/summaries of the services and outcomes
- Other documentation indicating the delivery and effectiveness of the purchased services

REQUIREMENT: All recipients of funds provided under ESEA must assure that policies and safety plans are in effect for all schools and districts included in the consortium application for Title IVA formula grants. Address each of the following:

- 7.11 Explain policies in regard to school safety and alcohol and other drugs.
- 7.12 What security procedures are in place for students while they are in school, and while they are on their way to and from school?
- 7.13 What crisis management plans are in place for responding to violent or traumatic incidents on school grounds?
- 7.14 Share code of conduct policies that describe the responsibilities of all students, teachers and administrators in maintaining a safe classroom environment?

Possible evidence includes:

- Copy of school discipline policies
- Copy of school security procedures (including student safety to and from school)
- Copy of school crisis management plan
- Copy of code of conduct policy
- Copy of written district procedures for informing students, parents, and staff about the above policies and plans

Appendix A – Definitions

Curriculum Integration of Technology

Technology integration occurs when educators use a variety of technology-supported strategies and tools for teaching and learning experiences for all students across all curricular areas at all grade levels.

High Quality Professional Development

The term high quality professional development refers to any instructional activities that:

- Improve and increase teachers' knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified,
- Improve classroom management skills,
- Support the recruiting, hiring, and training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification
- Are designed to give teachers of limited English proficient children, and other teachers and instructional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those children, including the appropriate use of curricula and assessments.
- Provide instruction in methods of teaching children with special needs
- To the extent appropriate, provide training for teachers and principals in the use of technology so that technology and technology applications are effectively used in the classroom to improve teaching and learning in the curricula and core academic subjects in which the teachers teach
- Include instruction in the use of data and assessment to inform and instruct classroom practice
- Include instruction in ways that teachers, principals, pupil services personnel, and school administrators may work more effectively with parents
- Include activities that create programs to enable paraprofessionals (assisting teachers employed by a local educational agency receiving assistance under part A of title I) to obtain the education necessary for those paraprofessionals to become certified and licensed teachers
- Include activities that involve the forming of partnerships with institutions of higher education to establish school-based teacher training programs that provide prospective teachers and beginning teachers with an opportunity to work under the guidance of experience teachers and college faculty
- Advance teacher understanding of effective instructional strategies that are based on scientifically based research:

- Advance teacher understanding of effective instructional strategies that are strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers
- Give teachers, principals and administrators the knowledge and skills to provide students with the opportunity to meet challenging Model Academic
- Are aligned and directly related to Model Academic Standards, Teacher and Administrator Standards, and PI34 provisions
- Are aligned and directly related to the curricula and programs tied to the standards described in the above
- Are integral part of broad schoolwide and districtwide educational improvement plans
- Are high quality, connected, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher's performance in the classroom
- Are not one-day or short-term workshops or conferences
- Are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served under this Act
- Provide follow-up training to teachers who have participated in activities that are designed to ensure that the knowledge and skills learned by the teachers are implemented in the classroom.
- As a whole, are regularly evaluated for their impact on increased teacher effectiveness and improved student academic achievement, with the findings of the evaluations used to improve the quality of professional development

Highly Qualified Teacher

A highly qualified teacher meets all of the requirements of PI 34 for the subjects and levels that he/she is teaching. The requirements include, but are not limited to, a bachelor's degree, completion of an approved licensing program, and a rigorous exam in the subjects being taught. In addition, a highly qualified teacher may be a teacher of record who is enrolled in a state-approved alternative teacher-training program.

Scientifically Based Research

The term scientifically based research means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs and includes research that:

- Employs systematic, empirical methods that draw on observation or experiment and involve rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

- Relies on **measurements or observational** methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;
- Is **evaluated using experimental or quasi-experimental** designs in which individuals, entities, programs, or activities are assigned to different conditions, with appropriate controls to evaluate the effects of the condition of interest and with a preference for random-assignment experiments or other designs to the extent that those designs contain within-condition or across-condition controls;
- Ensures that **experimental studies are presented** in sufficient detail and clarity to allow for replication or, at minimum, to offer the opportunity to build systematically on their findings; and
- Has been **accepted by a peer-reviewed journal or approved by a panel** of independent experts through a comparably rigorous, objective, and scientific review.

Technology Literacy

Technology literacy is the ability to responsibly use appropriate technology to communicate, solve problems, and access, manage, integrate, evaluate, and create information to improve learning in all subject areas and to acquire lifelong knowledge and skills in the 21st century.

Appendix B

ESEA Information Update

Wisconsin Department of Public Instruction/Elizabeth Burmaster, State Superintendent, P.O. Box 7841/Madison, WI 53707-7841

Bulletin No. 04.01

June 24, 2004

TOPIC: ESEA Consortia

Definitions

Consortia are partnership agreements in which the participating members pool their funds for a common purpose. A consortium is typically formed to meet the intent of a specific title when individual participating local education agencies (LEAs) lack sufficient resources or expertise to adequately provide the program or services alone. Consortia are allowed for the following formula-driven ESEA programs:

- Title II Part A
- Title II Part D
- Title III Part A (must generate a consortium allocation of at least \$10,000)
- Title IV Part A
- Title V Part A

When an LEA decides to enter into a consortium agreement, it turns over its entire program allocation to the consortium and in return receives the programs or services allowable under the law and consensually agreed upon by the consortium participants.

Although participating LEAs do not submit separate applications for funds, they are responsible for ensuring the requirements for receiving the funds are adhered to and federal ESEA goals are met.

ESEA Consortia and the ESEA Electronic Application

LEA Responsibilities

An LEA wishing to enter into a consortium for specific titles under ESEA may do so by selecting the "Surrender Allocation" option for each program budget on the "Fiscal Agent Decisions" screen in the ESEA application. By selecting this option, the LEAs elect to surrender their entire program allocation to the consortium. The district must sign a consortium agreement describing the programs and services it will receive from the consortium. The LEA program plan in the consolidated application must include a description of the programs and services it is receiving from the consortium for a particular title. The LEA also is responsible for meeting the equitable participation requirements for private schools. The school district must submit a written affirmation from each private school serving students who reside in the public school attendance area. This affirmation assures that the private schools are provided meaningful consultation and

indicates the titles in which a private school wishes to participate. The school district and consortium fiscal agent must work together to ensure that the participating private schools receive their equitable share of program services.

Fiscal Agent Responsibilities

The consortium fiscal agent is responsible for submitting consortium program goals, including activities and services, signatures of participating members, and a budget detailing projected expenditures. A program plan should be provided to all participating districts outlining the services, programs, and activities participating consortium members will receive. At the close of the fiscal year, any unexpended funds will be considered carryover funds for the consortium into the next fiscal year. The fiscal agent is responsible for submitting all reimbursement claims to DPI. The fiscal agent should work with each participating district to ensure the equitable participation rights of private school children are met.

Consortia that flow funds back to the participating districts

In the case of a consortium arrangement where a portion of the funds is returned by the fiscal agent to the LEA to control and spend for local use, a local budget describing how these funds will be spent must be approved by DPI. The electronic application allows the consortium fiscal agent to complete both the consortium budget and the LEA budgets for funds returned to the LEA for local use. In this type of consortium arrangement, each participating district's local use of funds must also be approved by DPI. The fiscal agent is responsible for tracking the expenditures of all funds at the local and consortium levels. Fiscal agents and participating LEAs should agree on how carryover funds will be allocated to member districts prior to the start of the fiscal year. Claims for reimbursement must be submitted by the consortium's fiscal agent.

All budget revisions must be submitted to DPI by the consortium's fiscal agent. If the local district budget is amended, the consortium fiscal agent must resubmit the local budget along with the consortium budget for approval.

For more information on being a fiscal agent, see the Department of Public Instruction Fiscal Agent Policy at <http://dpi.wi.gov/sfs/wufar.html>.

Specific questions related to this bulletin should be directed to:

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This bulletin can also be found at: http://dpi.wi.gov/esea/pdf/bul_0401.pdf