



Kentucky Department of Education

# Title I, Part A Handbook

Office of Continuous Improvement and Support  
Division of School and Program Improvement  
300 Sower Blvd. Frankfort, KY 40601 · (502) 564-3791

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# TITLE I DISTRICT COORDINATOR SUPPORT

## **Tips for Title I Coordinators**

1. Use the [Title I Sample Documents](#) as references and editable templates for uses in meeting selected requirements.
2. Visit the Kentucky Department of Education (KDE) and US Department of Education (ED) Title I webpages at: [KDE Title I, Part A](#) and [ED Title I, Part A](#).
3. Read your district's most recent Title I grant application in the [Grant Management Application & Planning System](#) (GMAP) and supporting materials (Title I Narrative, Needs Assessment, Budget, etc.). Supporting materials are located in the Comprehensive School Improvement Plan (CSIP). More information on GMAP is available on KDE's [Grant Management Application & Planning System webpage](#) as well as the Help for Current Pages tab within the system. [Grant Management Application & Planning System webpage](#) as well as the Help for Current Pages tab within the system.
4. Read the accountability data found in the [School Report Card](#) for your district and its schools for the most recent year.
5. Visit your Title I schools often. Become familiar with their needs assessment, improvement plans and procedures for student selection in a Targeted Assistance Program (TAS), method for providing services, and family engagement activities.
6. Visit any non-public schools that may be participating in the Title I program and any local institutions or homes receiving Title I funds for neglected and delinquent youth. Familiarize yourself with the services being provided by the district for those students.
7. Read your district's policies governing family engagement, data collection and use, professional development, financial requirements, and the dissemination of annual notices to parents (e.g., School Report Cards and Parents' Right-to-Know).
8. Use the Title I Coordinator Year-at-a-Glance timeline in [Appendix A](#) as a guidance for your program.
9. Use the [Kentucky Department of Education District Set- Aside Guidance](#) in Appendix J as a guidance for your program.

## **Hints for Organization and Record Keeping**

1. Set up your files using KDE's Consolidated Monitoring forms (located on the [Title I, Part A Documents and Resources](#) webpage) as an organizational framework. Maintain current documents that will serve as evidence for each area should the district be monitored.
2. Maintain updated lists of students served in TAS (if applicable), including criteria by which students were selected, date of entry into the program, date of exit and reason for exit (e.g., academic exit, moved, dropped by parent request, etc.)
3. Keep current copies of SWP and TAS plans on file at the district office.
4. Create a filing system to be used at all participating schools, this will help ensure that all schools are maintaining proper documentation and smooth the process of visiting each Title I school. Some coordinators provide each school coordinator with a portable file box, files pre-labeled with the necessary sections and tip sheets for each section as to what type of documents should be kept in each folder.
5. Maintain hard copies as well as digital copies of documents whenever possible. Give digital documents and folders titles that make it easy to determine what each item is.

## **Sample Documentation**

When a district is monitored by KDE, documentation must be provided showing that the Title I program is being run effectively. Sample documentation lists can be found at the end of each section and the master list can be found in [Appendix I](#) as well as suggested filing systems for both district and school-level documentation. These lists are not all-inclusive but rather suggestions of potential documentation. Contact a [KDE Consultant](#) to verify other allowable forms of documentation.

## **Editable Templates**

Editable templates and sample documents can be downloaded from the [Title I, Part A Sample Documents](#) folder on the [Title I, Part A Documents and Resources](#) webpage. Districts may customize these documents or create their own. The following documents are included in the folder:

- Non-Public Schools
  - Eligibility List for Title I – Private School Students
  - End of Year Title I Survey – Private School Teachers
  - Letter of Notification and Participation Survey
  - Memorandum and Parent Surveys
- Parent and Family Engagement
  - Annual Parent and Family Engagement Evaluations
  - Notification of Right to Request Teacher Qualifications
  - Parent Notification Regarding Certification and Licensure Status of Teacher
  - Sample Notice on Testing Transparency
  - Sample School Compact Signature Form
  - Title I Program Parent Surveys
- Targeted Assistance Program
  - Student Eligibility List
- Time and Effort
  - Personnel Activity Report Template
  - Sample Semi-Annual Certification

# TITLE I, PART A, PROGRAM REQUIREMENTS

## ESSA, Title I, Part A

### Sections 1111, 1112, 1113, 1114, 1115, 1116, 1117, 1118, 1119

The purpose of this title is to provide all children with significant opportunity to receive a fair, equitable, and high-quality education, and to close educational achievement gaps. Title I, Part A, Improving Basic Programs is operated by local education agencies and can be referenced within [ESSA regulations](#).

## DISTRICT REQUIREMENTS

- 1. School Attendance Areas:** A district must rank order all its school attendance areas based on the percent of low-income children. The district must serve, in rank order of poverty, its schools above 75% poverty. ESSA 1113(a)(6) outlines an exception to these ranking and serving rules. Districts with a total enrollment of less than 1,000 children are not subject to ranking and serving requirements, including the 75% rule. After schools above 75% poverty are served, the district has the option to (a) continue with the district-wide ranking or (b) rank remaining schools by grade span grouping. There is an exception to the ranking rule; a district may lower the poverty threshold to 50% for high schools. Districts are not required to serve high schools above 50% poverty, it is optional. If a district elects to use the exception, all high schools at or above 50% poverty must be served before elementary and middle schools with less than 75% poverty.
- 2. Allocations:** A district must allocate Title I, Part A funds to participating schools based on Title I, Part A allocation procedures. Districts serving any school below 35% low-income must allocate Title I, Part A funds to participating schools based on a minimum per pupil amount using the 125% rule.
- 3. Children from Local Institutions for Neglected Children:** A district must set aside funds for the educational needs of children in local institutions for neglected children. Funds for service to the institution should be included in the district set-aside before funds are allocated to schools. See [the neglected and delinquent section](#) for more information on how Title I funds are used to serve children in neglected and delinquent institutions.
- 4. Homeless Children:** Districts must provide services for homeless children who attend Title I and non-Title I schools, including providing educationally related support services to children in shelters. The services in non-Title I schools must be comparable to those provided to children in Title I schools. A district must reserve “such funds as may be necessary” (see ESSA 1113(c)(3)(A)), to serve homeless children attending both Title I and non-Title I schools (regardless of receiving a McKinney-Vento Homeless Assistance Grant). Funds must be reserved even if all schools in the district are Title I schools. The reserved funds must address the educational needs of the homeless students and must consider homeless students enrolled in private schools, institutions for neglected children, and local institutions for delinquent youths. See [the homeless children and youth section](#) for more information on how Title I, Part A funds are used to serve homeless children and youth.
- 5. Private School Children:** A district must provide eligible private school children, their families and teachers with Title I, Part A educational services that are equitable to those provided to eligible public school children, their families, and teachers. These services must be determined in consultation with private school officials. See [the services to eligible private school children section](#) for more information on how Title I, Part A funds are used to provide equitable services to eligible private school children.
- 6. Preschool Programs:** Preschool programs supported by Title I, Part A funds must also meet, at a minimum, the education performance standards of the [Head Start performance standards](#) that are aligned with the [Head Start Child Early Learning Outcomes Framework Ages Birth to Five \(2015\)](#).
- 7. Parent and Family Engagement:** A district with an allocation over \$500,000 must reserve at least 1% of its allocation

in the district set-asides for parent and family engagement activities and must distribute 90% of that 1% to Title I schools to be spent that school year. A proportionate amount of the private school allocation must be used for parent and family engagement for parents of participating private school students. A written parent and family engagement policy at the district level must be developed jointly, agreed upon, and distributed to parents of participating children. The parent and family engagement policy must include:

- Overall expectations for parent and family engagement;
- Components for building capacity for more effective parent and family engagement; and
- An annual evaluation of the content and effectiveness of the parent and family engagement activities in increasing participation of parents and whether there are barriers to greater participation.

See [the parent and family engagement section](#) for more information on how Title I, Part A funds are used to increase parent and family engagement.

**8. Paraeducators:** Districts must ensure that all paraeducators working in a program supported with Title I funds meet one of the following requirements as outlined in ESSA 1111(g)(2)(J) and (M):

- Completed at least 2 years of study at an institution of higher education;
- Obtained an associate’s (or higher) degree; **OR**
- Met a rigorous standard of quality and can demonstrate, through a formal State or local academic assessment – knowledge of, and the ability to assist in instructing, reading, writing, and mathematics; or knowledge of, and the ability to assist in instructing, reading readiness, writing readiness, and mathematics readiness, as appropriate.

See [the paraeducator section](#) for more information on the role of paraeducators in Title I schools.

**9. Maintenance of Fiscal Effort:** A district may receive Title I, Part A funds for any fiscal year only if either its combined fiscal effort per student or the aggregate expenditures of the district and the state with respect to the provision of free public education by the district for the preceding fiscal year is not less than 90% of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year.

**10. Comparability:** A district must meet the comparability requirement as follows: A district may receive Title I, Part A funds only if it uses state and local funds to provide services in Title I, Part A schools that are at least comparable to the services provided in schools that are not receiving Title I, Part A funds.

**11. Supplement versus Supplant:** A district may use Title I, Part A funds only to supplement the funds that would, in the absence of Title I, Part A funds, be made available from non-federal sources for the education of children participating in Title I, Part A programs. ESSA 1118(b)(2) changed the way that districts demonstrate compliance with the Supplement not Supplant requirement. The LEA must demonstrate that the methodology in which state and local funds are distributed to each school receiving Title I funds ensures that the schools receive all of the state and local funds they would otherwise receive if they were not receiving Title I funds. Funds must be distributed in a Title I-neutral manner; the LEA cannot determine the amount of state and local funds allocated to a school based on the school’s Title I allocation. The Supplement Not Supplant Methodology must be updated annually and kept on file at the district office. A method of evaluation must:

- Reflect staffing allocations with real calculations and numbers to support it;
- Account for distribution of state and local funds, including staff, resources, and services, in a Title I-neutral manner;
- Be supported with documentation; and
- A narrative to clarify allocation steps.

The following exemptions would apply. In these cases a supplement, not supplant methodology would not be required.

- One school district (The district would be exempt as a whole.);
- A grade span with a single school (The single-school grade span would be exempt.); or
- Serves all schools with Title I allocations (The district would be exempt as a whole if every school is served. If all schools within a grade span is served, that grade span would be exempt.)

**12. Carryover Funds:** For districts with Title I, Part A allocations of \$50,000 or more, carryover funds on September 30 are limited to no more than 15%. A state education agency (SEA) may grant a one-time waiver of the percentage limitation during a three-year period upon written request of a district if it determines the request is reasonable and necessary or if supplemental appropriations become available. A school district that is interested in obtaining a waiver of the carryover limitation in section 1127(a) so that it may carry over more than 15% of its Title I, Part A, Subpart 2 allocation must apply to its SEA in accordance with the SEA's regular procedures for granting a waiver of the [carryover limitation](#).

**13. Transferability of Funds:** A district may transfer up to 100% of funds from other federal programs (Title II, Part A; and Title II, Part D) into Title I, Part A. A district may not transfer Title I, Part A funds into other federal programs.

**14. Records:** Records must be maintained at both the school and district level for the current year and three (3) prior years. Best practice is to maintain records for the current year and five (5) prior years.

# SCHOOLWIDE PROGRAM REQUIREMENTS

ESSA, Title I, Part A, Sections 1114 and 1119

This section should be used for assistance in establishing a schoolwide program in your local educational agency (LEA). You can also find guidance released by the U.S. Department of Education (ED) at the following links:

[Schoolwide Program Non-Regulatory Guidance](#)

[Supporting School Reform by Leveraging Federal Funds in a Schoolwide Program](#)

**Definition:** A school with at least 40% low-income is eligible to plan and implement a schoolwide program (SWP). A schoolwide program must upgrade the entire educational program in the school in order to raise academic achievement for all students.

An LEA may operate a schoolwide program in a school with less than 40% poverty in order to allow the LEA to implement interventions aligned with turnaround principles or an intervention that is based on the needs of the school's students.

## Schoolwide program checklist:

Is based on one year of planning and is built on schoolwide reform strategies, rather than on separate add-on services.

Provides flexibility in spending federal, state, and local funds as long as the school engages in strategies that increase the amount and quality of learning time and help provide a high-quality curriculum for all children, according to a comprehensive school improvement plan or a SWP plan to help children meet Kentucky's standards.

Focuses on results. The flexibility in the use of funds must result in increased achievement by student populations (economically disadvantaged, racial and ethnic groups, students with disabilities and students with limited English proficiency).

## Meets at least one of the following qualifications:

1. A Title I school with 40 percent or more of its students living in poverty, regardless of the grades it serves
2. A Tier I or Tier II school in a state that requested and received a waiver through the School Improvement Grant (SIG) program that received funds to implement one of the SIG intervention models.
3. A Title I school under 40% poverty that receives a state waiver (see note below) or was served the previous school year as a schoolwide program and the LEA wishes to continue services for a school that dipped below 40% poverty using the grandfather clause.

**Note:** The Kentucky Department of Education has the authority to allow a Title I school to operate a schoolwide program without meeting the 40 percent poverty threshold if it is determined that a schoolwide program will best serve the needs of students in the school who are failing, or at risk of failing, to meet the challenging state academic standards. (ESSA sections 1114(a)(1)(B) and (b)(6)). Please contact [David Millanti](#) for more information.



## SCHOOLWIDE PROGRAM PLAN CORE COMPONENTS

There are three core components required by statute for effective implementation of a schoolwide program (SWP): conducting a comprehensive needs assessment, preparing a comprehensive schoolwide plan, and annually reviewing and revising, as necessary, the schoolwide plan. Each component must be described in the SWP plan.

### COMPREHENSIVE NEEDS ASSESSMENT

The goal of the needs assessment is to use academic data for the entire school and stakeholder feedback to determine the subjects and skills for which teaching and learning need to be improved as well as gain a better understanding of the root causes of the identified needs. ESSA 1114(b)(6) requires each school operating an SWP develop a plan based on a comprehensive needs assessment and the specific functions of the needs assessment are outlined in [34 CFR 200.26\(a\)](#).

A school operating an SWP must conduct a comprehensive needs assessment of the entire school that –	34 CFR 200.26(a)(1)
<ul style="list-style-type: none"> <li>• Is based on academic achievement information about all students in the school, including all groups under <a href="#">34 CFR 200.2(b)(10)(ii-vi)</a>, relative to Kentucky’s academic standards under <a href="#">34 CFR 200.1</a> to –               <ul style="list-style-type: none"> <li>○ Help the school understand the subjects and skills for which teaching and learning need to be improved; and</li> <li>○ Identify the specific academic needs of students and groups of students who are not yet achieving Kentucky’s academic standards; and</li> </ul> </li> <li>• Assesses the needs of the school relative to each of the components of the SWP under ESSA 1114(b)(7).</li> </ul>	200.26(a)(1)(i) 200.26(a)(1)(i)(A) 200.26(a)(1)(i)(B) 200.26(a)(1)(ii)
<ul style="list-style-type: none"> <li>• The comprehensive needs assessment must be developed with the participation of individuals who will carry out the SWP plan. [See also ESSA 1114(b)(2)]</li> </ul>	200.26(a)(2)
<ul style="list-style-type: none"> <li>• The school must document how it conducted the needs assessment, the results it obtained, and the conclusions it drew from those results. [See also ESSA 1114(b)(3)]</li> </ul>	200.26(a)(3)

### COMPREHENSIVE SCHOOLWIDE PLAN

The data gathered during the needs assessment is used to develop a plan describing how the school will improve academic achievement and address the identified needs throughout the school, but particularly for the lowest achieving students (ESSA 1114(b)(7)). The required components of an SWP plan are found in ESSA 1114(b) and [Supporting School Reform by Leveraging Federal Funds in a Schoolwide Program](#).

An eligible school operating an SWP must develop a comprehensive plan that –	ESSA 1114(b)
<ul style="list-style-type: none"> <li>• Is developed during a 1-year period.</li> </ul>	ESSA 1114(b)(1)
<ul style="list-style-type: none"> <li>• Is developed with the involvement of stakeholders (parents, community members, and individuals who will carry out the SWP).</li> </ul>	ESSA 1114(b)(2)
<ul style="list-style-type: none"> <li>• Remains in effect for the duration of the school’s participation in the Title I, Part A program.</li> <li>• Must be regularly monitored and revised as necessary based on student needs.</li> </ul>	ESSA 1114(b)(3)
<ul style="list-style-type: none"> <li>• Is available to stakeholders, is in an understandable and uniform format, and provided in a language that the parents can understand (where practicable).</li> </ul>	ESSA 1114(b)(4)

<ul style="list-style-type: none"> <li>If appropriate and applicable, an SWP should be developed in coordination and integration with other Federal, State, and local services, resources, and programs, such as programs supported under ESSA, violence prevention programs, nutrition programs, housing programs, Head Start programs, adult education programs, career and technical education programs, and schools and schools implementing comprehensive support and improvement activities or targeted support and improvement activities under ESSA 1111(d).</li> </ul>	ESSA 1114(b)(5)
<ul style="list-style-type: none"> <li>Is based on a comprehensive needs assessment.</li> </ul>	ESSA 1114(b)(6)
<ul style="list-style-type: none"> <li>Includes a description of – <ul style="list-style-type: none"> <li>The strategies that will be implemented to address school needs and how the strategies will <ul style="list-style-type: none"> <li>Provide opportunities for all children</li> <li>Use methods and instructional strategies that strengthen the academic program, increase the amount and quality of learning time, and help provide an enriched and accelerated curriculum.</li> <li>Address the needs of all children in the school. A suggested list of activities to address need in an SWP can be found in ESSA 1114(b)(7)(A)(iii).</li> </ul> </li> </ul> </li> </ul>	ESSA 1114(b)(7)

## EVALUATION

ESSA 1114(b)(3) states that the plan and its implementation shall be regularly monitored and revised as necessary based on student needs to ensure that all students are provided opportunities to meet Kentucky’s challenging academic standards and ensure continuous improvement. [34 CFR 200.26\(c\)](#) explains that any revisions to the plan should be based on the results of the evaluation.

A school operating an SWP must –	34 CFR 200.26(c)
<ul style="list-style-type: none"> <li>Annually evaluate the implementation of, and results achieved by, the SWP, using data from Kentucky’s annual assessments and other indicators of academic achievement;</li> </ul>	200.26(c)(1)
<ul style="list-style-type: none"> <li>Determine whether the SWP has been effective in increasing the achievement of students in meeting Kentucky’s academic standards, particularly for those students who had been the furthest from achieving the standards;</li> </ul>	200.26(c)(2)
<ul style="list-style-type: none"> <li>Revise the plan, as necessary, based on the results of the evaluation, to ensure continuous improvement of students in the SWP</li> </ul>	200.26(c)(3)

## Examples of Effective Program Design

The program design of a schoolwide program should reflect evidence-based reform strategies that are directly aligned with the findings of the comprehensive needs assessment. The program design may vary to meet the different needs of grade levels and content areas in the school. All federal, state and local resources (staff, materials, labs, computers, professional development, etc.) must be coordinated to improve student achievement. Title I should not be the only funding source for the schoolwide program. The following examples may be included in a school’s program design:

- Resource teachers to model effective instruction; provide on-going professional development; assist in strengthening lesson plans to reflect the common core state standards and provide guidance on curriculum alignment. The teachers could address needs such as writing, reading in the content area and integrating arts/humanities and practical living into the classroom.
- Content specialist in a computer lab to collaborate with the classroom teacher on using a variety of strategies to answer open response items; developing writing prompts; using spread sheets and graphs;

and finding computer programs that address higher level thinking skills. The content specialist could address identified needs such as writing, technical reading, reading comprehension and problem solving.

3. Science/math lab teacher to develop hands-on activities and experiments to enhance/expand instruction.
4. Extended kindergarten to provide early intervention that aligns with primary instruction.
5. Specific academic, research-based models aligned with the school's needs assessment that provide early intervention strategies.
6. Total school restructuring efforts based on evidence-based process models that are goal oriented and based on setting high expectations.
7. Software programs that coordinate with student performance standards and that expand higher order thinking skills.
8. Parent coordinator to train teachers and parents, develop community partnerships and coordinate with family literacy programs and Family Resource & Youth Service Centers to help meet instructional needs of students.
9. Intersession programs for year-round schools, summer school, expanded or extended day programs.
10. Classroom programs or evidence-based models that improve students' academic achievement.

### **Annual Evaluation/Review of the Schoolwide Program**

Title I regulations require that a school operating a schoolwide or targeted assistance program annually evaluate the implementation of, and results achieved by, the program. The evaluation must determine whether the program was effective in increasing the achievement of students in meeting the challenging state standards, particularly those students who had been furthest from achieving the standards. The school must revise its plan as necessary based on the results of the evaluation to ensure the continuous improvement of student achievement. The intent of the evaluation is to determine if strategies are contributing to improvement in student achievement or increases in other activities like parent and family engagement or high-quality professional development that leads to increases in student achievement.

The school must decide whether the review will be conducted internally (by school staff) or externally (by a person or persons outside of the school such as district staff, regional educational laboratory, institution of higher education or any technical assistance provider). The decision should be made collaboratively between schools and their districts. Districts and schools are strongly encouraged to use outside reviewers when possible but at least every couple of years.

The annual evaluation examines whether the schoolwide or targeted assistance program is being effectively implemented and whether the implementation is improving student achievement. The annual review should not only address student achievement but also teacher quality, parent and family engagement, coordination of funds and other components that directly and indirectly affect achievement. The annual review is designed to reveal areas of strength within the program and areas that need revision in order to better position the school to continue making academic improvement.

# EFFECTIVE SCHOOLWIDE PROGRAMS

## High-Poverty Schools and Effective Schoolwide Programs

- High concentrations of poverty can negatively impact the academic achievement of all students at a school.
- For the lowest achieving students in the highest poverty schools to meet high standards of performance, the school's entire instructional program, not just a separate Title I program, must be substantially improved.
- Educators in highly successful schools expect high academic achievement from every child.
- When an entire school is the target of change, schools serving disadvantaged youth can achieve success.

## Common Characteristics of Effective Schoolwide Programs

An effective schoolwide program brings all federal, state and local resources together to improve the instructional program in order to impact student achievement. All federal, state, and local resources address the required components of a schoolwide program. Even though schoolwide programs vary from one school to another, effective schoolwide programs have the following characteristics:

### Agreed-Upon Vision

#### All staff should...

- Share a common vision for all students.
- Make decisions based on a comprehensive needs assessment.
- Integrate the schoolwide plan in the Comprehensive School Improvement Plan.
- Coordinate resources from all federal, state, and local programs.

### Academic Focus

#### All staff should...

- Focus on early childhood intervention.
- Use systematic, evidence-based academic models that are matched to the needs of the students.
- Devise appropriate modifications and differentiate instruction to accommodate students' strengths and weaknesses.
- Integrate disciplines and specializations in thematic units, promoting reading and mathematics learning through explorations, writing, and problem solving around content themes.
- Use computers and other technology as instructional tools.
- Emphasize building student self-concept, cultural pride, and community identity.
- Use art, writing, reading, and other integrated experiences for students to learn social studies and science through projects.
- Closely align professional development (PD) with school goals, needs assessment, and the improvement plan.
- Visit other classrooms and discuss curriculum issues across grade levels/teams.
- Analyze student data to identify achievement gaps in subpopulations.

### Management and Organizational Structure

#### All staff should...

- Be accountable for all students.
- Not isolate Title I from the rest of the school.
- Intensify small group instruction within the classroom and assist classroom teachers to strengthen lessons.

- Be included in the planning and management phases.
- Manage programs by a committee that includes teachers, parents, and administrators.

## Project Design

### All staff should...

- Deliberately design approaches emphasizing critical thinking skills.
- Design programs that include all disciplines in the academic program.

## Parent and Family Engagement

### All staff should...

- Recruit and encourage parents to become partners in learning, actively engage parents in planning and learning and target school-parent programs to the needs of the community and families.
- Encourage parents to be more than volunteers; parents participate in planning, review, and evaluation of the program as well as school activities and organizations.
- Communicate with parents to maximize instructional time for students and foster a team effort.
- Follow a philosophy that school is a place where parents, as well as children, can learn and that entire families should use school facilities to meet their needs.
- Communicate information to parents through their native language.
- Provide examples of classroom events (e.g., video tapes, newsletters, open house, and display of student work) for parents in order to broaden their understanding of the program.
- Be willing to provide transportation and childcare services for parents to participate in school activities.
- Develop partnerships with local businesses and community groups to foster successful schools.

See [Appendix B](#) for a rubric to assess the quality of a schoolwide program.

See [Appendix C](#) for information on accountability for results and continuous improvement.

## PERSONNEL AND ITEMS WITHIN A SCHOOLWIDE PROGRAM

**School Allocation:** The district must allocate funds to school attendance areas identified as eligible and selected to participate in rank order based on the percent of low-income students. The school allocation is determined by a per pupil amount times the total number of children from low-income families in each school. Funds are allocated for use by the school, but it remains the responsibility of the district to ensure compliance of school expenditures.

**Eligible Children:** The school is not required to identify particular children. All children are to be provided the opportunity to meet the academic expectations. The focus is on the instructional program instead of particular children.

**Needs Assessment:** As a part of comprehensive school improvement and SWP planning, the school conducts a needs assessment of all children in the school based on their performance toward meeting the academic expectations. The needs assessment should identify priority needs in student performance in the well-rounded subjects of English, reading/language arts, mathematics, science, world languages, civics and government, economics, arts, history, and geography. The priority needs identified must determine how resources are used.

**Teachers in a Schoolwide Program:** The focus of a schoolwide program is to raise the performance level of all students by improving the overall instructional program in the school through the integration of federal, state, and local funds. Regardless of funding, all teachers:

- Must address identified needs through the comprehensive needs assessment; and

- Assist the school in increasing the effectiveness of the staff, parents, community and agencies in improving the school's performance.

**Paraprofessionals in a Schoolwide Program:** In a schoolwide program, paraprofessionals may be used to assist with instruction to students. NCLB requirements apply to all paraprofessionals with instructional duties in a schoolwide program. Regardless of funding, all paraprofessionals with instructional duties must:

- Have completed at least 2 years of study at an institute of higher education; obtained an associate's degree; or met a rigorous standard through the Kentucky Paraeducator Assessment.
- Be included in professional development activities.
- Be under the direct supervision of a teacher who has primary responsibility for providing instructional services.

The following is considered to be direct supervision of a teacher:

- The teacher prepares the lessons and plans the instructional support activities the paraprofessional carries out and evaluates the achievement of the students with whom the paraprofessional is working; and
- The paraprofessional works in close and frequent proximity with the teacher.
- The paraprofessional does not get pulled to be a substitute teacher in a classroom.

A program where a paraprofessional provides instructional support and a teacher visits a site once or twice a week but otherwise is not in the classroom would be inconsistent with the requirement that paraprofessionals work in close and frequent proximity to a teacher. A program where a paraprofessional works with a group of students in another location while the teacher provides instruction to the rest of the class would also be inconsistent with the requirement that paraprofessionals work in close and frequent proximity to a teacher.

Because paraprofessionals provide instructional support, they should not be creating lessons for whole group instruction or introducing new skills, concepts or academic content to the whole class. Paraprofessionals working in a schoolwide program may:

- Participate in general professional development and school planning activities;
- Provide one-on-one tutoring at a time when a student would not otherwise receive instruction from a teacher;
- Provide assistance in a computer lab;
- Conduct parent and family engagement activities;
- Act as a translator; or
- Provide instructional services to students under the direct supervision of a teacher.

**Non-instructional Duties:** A paraprofessional in a program supported with Title I funds may assume limited non-instructional duties that are assigned to instructional staff in a program not supported with Title I funds as long as the amount of time spent on the limited duties is the same proportion of total work time as that of instructional staff at the same school. In a schoolwide program, all paraprofessionals with instructional duties work in a program supported with Title I funds.

**Parent and Family Engagement:** A written parent and family engagement policy at the school level must be developed jointly with, agreed upon, and distributed to all parents. The parent and family engagement policy must include:

- Expectations for parent and family engagement;
- Components for building capacity for more effective parent and family engagement;
- School-family compacts, outlining shared responsibilities for high student performance;

- Annual evaluation of the content and effectiveness of the parent and family engagement activities in increasing participation of parents and whether there are barriers to greater participation.

## **USING OTHER FUNDS AND CONSOLIDATION OF FUNDS**

### **Using Other Federal Funds in a Schoolwide Program**

The following are some examples of how funds from other federal programs may be utilized in a schoolwide program. The intent and purposes of the included programs must be met.

1. A secondary school may use funds received under the Carl D. Perkins Vocational and Technology Education Act to support its schoolwide program if its program improves vocational education in the school, (for example, by integrating academic and vocational education) and its program improves access to vocational education for special populations in the school.
2. A Schoolwide program school may use funds received under Title II, Part A, Teacher and Principal Training and Recruiting Fund to provide the school with a sustained and intensive high-quality professional development program for school staff in core academic subjects that is aligned with Kentucky’s content and performance standards, that reflects recent research on teaching and learning, and incorporates methods and practices to meet the educational needs of diverse student populations.
3. A school may use funds received under Title III, Language Instruction for English Learners and Immigrants to support its schoolwide program provided the program implements a bilingual education or special alternative instruction program that reforms, restructures, and upgrades the programs and operations that serve limited English proficient children and youth in the school.

### **Consolidating Federal, State, and Local Funds in a Schoolwide Program**

By making systemic changes that knit together services funded from a variety of sources into a comprehensive framework, schools have a better chance of increasing the academic achievement of all students. To encourage this approach and better leverage all available funding, a schoolwide program school has the flexibility to consolidate funds from Title I and other federal education programs with state and local funds. (ESSA section 1114(a)(1), (3)). By consolidating funds in a schoolwide program, a school can more effectively design and implement a comprehensive plan to upgrade the entire educational program in the school as informed by the school’s comprehensive needs assessment. When a school consolidates funds in a schoolwide program, those funds lose their individual identity and the school may use the funds to support any activity of the schoolwide program without regard to which program contributed the specific funds used for a particular activity.

<b>Advantages of Consolidating Funds in a Schoolwide Program</b>
<ul style="list-style-type: none"> <li>• Flexibility to allocate all available resources effectively and efficiently.</li> <li>• A school is not required to meet most of the statutory and regulatory requirements of the specific federal programs included in the consolidation, provided it meets the intent and purposes of those programs.</li> <li>• A school is not required to maintain separate fiscal accounting records by federal program that identify the specific activities supported by each program’s funds.</li> </ul>



**NOTE: A schoolwide program school has flexibility in its use of Title I funds even absent consolidation. The uses of Title I funds described throughout this document are available to a schoolwide program school that does not consolidate its Title I or other federal funds. Consolidation, however, affords even greater flexibility, as discussed above.**

The following guidance documents contain additional information on consolidation of funds that may be useful for schools operating schoolwide programs:

- [Title I Fiscal Issues, pp. 49-63 \(Feb. 2008\)](#) (provides information on consolidating funds in a schoolwide program).
- [Notice Authorizing Schoolwide Programs to Consolidate Federal Education Funds and Exempting Them From Complying With Statutory or Regulatory Provisions of Those Programs, 69 FR 40360-64 \(July 2, 2004\)](#) (provides information regarding which federal education programs may be consolidated in a schoolwide program and how a school can ensure that it meets the intent and purposes of the federal programs included in the consolidated schoolwide program).

## FLEXIBILITY OF FUNDS IN A SCHOOLWIDE PROGRAM

Consistent with the benefits identified above, a school operating a schoolwide program may use Title I funds for any activity that supports the needs of students in the school as identified through the comprehensive needs assessment and articulated in the schoolwide plan (ESSA section 1114(b)). In designing and implementing the schoolwide plan, a school must implement strategies that: **(1)** provide opportunities for all children to meet challenging state academic standards; **(2)** use methods and instructional strategies that strengthen the academic program in the school, increase the amount and quality of learning time, and help provide an enriched and accelerated curriculum, which may include programs, activities, and courses necessary to provide a well-rounded education; and **(3)** address the needs of all students, but particularly those at risk of not meeting challenging state academic standards (ESSA section 1114(b)(7)(A)).

### Examples of uses of funds in a schoolwide program (based on needs assessment)

- High-quality preschool or full-day kindergarten and services to facilitate the transition from early learning to elementary education programs.
- Recruitment and retention of effective teachers, particularly in high-need subjects.
- Instructional coaches to provide high-quality, school-based professional development.
- Increased learning time.
- Evidence-based strategies to accelerate the acquisition of content knowledge for English learners.
- Activities designed to increase access and prepare students for success in high-quality advanced coursework to earn postsecondary credit while in high school (e.g., Advanced Placement, International Baccalaureate, early college high schools, and dual or concurrent enrollment programs).
- Career and technical education programs to prepare students for postsecondary education and the workforce.
- Counseling, school-based mental health programs, mentoring services, and other strategies to improve students' nonacademic skills.
- School climate interventions (e.g., anti-bullying strategies, positive behavior interventions and supports).
- Equipment, materials, and training needed to compile and analyze student achievement data to monitor progress, alert the school to struggling students, and drive decision making.
- Response-to-intervention strategies intended to allow for early identification of students with learning or behavioral needs and to provide a tiered response based on those needs.
- Activities that have been shown to be effective at increasing family and community engagement in the school, including family literacy programs.
- Devices and software for students to access digital learning materials and collaborate with peers, and related training for educators (including accessible devices and software needed by students with disabilities).
- Two-generation approaches that consider the needs of both vulnerable children and parents, together, in



### Examples of uses of funds in a schoolwide program (based on needs assessment)

the design and delivery of services and programs to support improved economic, educational, health, safety, and other outcomes that address the issues of intergenerational poverty.

The above table provides examples of some of the potential uses of funds available to schools when operating a schoolwide program. Each school, in conjunction with LEA officials, has the discretion to determine the specifics of a schoolwide plan, including which methods and instructional strategies will be used, based on the school's identified needs in its comprehensive needs assessment.

#### See Also

*For specific questions or items concerning the setup of your schoolwide program you can view other guidance released by the Kentucky Department of Education. A short list is provided below.*

1. [Pre-School Section](#) of this handbook
2. [Title III Section](#) of this handbook
3. [Neglected and Delinquent Section](#) of this handbook
4. [SBDM Section](#) of this handbook
5. [KDE Guidance for Districts on Set-Asides](#)
6. Title I monitoring checklists for required documentation

*Non-KDE sources:*

7. [CCSSO Federal Funding Streams Resources](#)

# TARGETED ASSISTANCE SCHOOL REQUIREMENTS

ESSA, Title I, Part A, Sections 1115 and 1119

**Definition:** A targeted assistance school (TAS) must use funds only for programs that provide supplemental services for Title I identified children. The goal of a targeted assistance school is to improve teaching and learning to enable Title I, Part A participants to meet the academic standards that all children are expected to master.

**School Allocation:** The district must allocate funds to school attendance areas identified as eligible and selected to participate in rank order based on the percent of low-income students. The school allocation is determined by a per pupil amount times the total number of children from low-income families in each school. Funds are allocated for use by the school, but it remains the responsibility of the district to ensure compliance of school expenditures.

**Eligible Children:** The school identifies children who are failing or most at risk of failing to meet Kentucky's challenging academic standards and having the greatest academic need. Children who are economically disadvantaged, children with disabilities, migrant children, homeless children, and limited English proficient children are eligible for Title I, Part A services on the same basis as other children that are selected for services.

From the list of eligible children, the school selects those children who have the greatest need for special assistance to receive Title I, Part A services in the identified focus areas. Core academic areas include English, reading/language arts, mathematics, science, world languages, civics and government, economics, arts, history, and geography.

**Needs Assessment:** As a part of comprehensive school improvement planning, the school conducts a comprehensive needs assessment. This determines the focus areas of the Title I, Part A services. A targeted assistance school must identify students who are failing or most at risk of failing to meet state standards. An educational objective measure must be used to determine the students with the greatest academic needs.

Those students with the greatest academic need in the identified focus areas are provided Title I, Part A services. The school must keep on file a list of this ranking of individual students.

**Eligible Schools:** Schools that qualify to receive funds because they are at or above the district's poverty percentage or between 35% and 40% poverty (depending on how the district qualifies the schools) are eligible to operate targeted assistance programs.

## SEVEN COMPONENTS OF A TARGETED ASSISTANCE SCHOOL

1.	Use Title I, Part A resources for supplemental programs to help participating Title I children meet the academic expectations all children are expected to meet.
2.	Ensure that planning for students receiving Title I services is incorporated into existing school planning.
3.	Use effective evidence-based instructional strategies that: <ul style="list-style-type: none"> <li>• Give primary consideration to providing extended learning time such as extended school year, before and after school, and summer programs;</li> <li>• Help provide an accelerated, high-quality curriculum; and</li> <li>• Minimize removing children from the regular classroom during regular school hours.</li> </ul>
4.	5. Coordinate with and support the regular educational program that may: <ul style="list-style-type: none"> <li>• Include services to assist preschool children's transition to elementary school;</li> <li>• If funds are not available from other public or private sources, then funds may be used to provide health, nutrition and other social services if these needs of the targeted students are part of the comprehensive needs assessment; and as a last resort, funds can be used to provide basic medical equipment such as eyeglasses, hearing aids and professional development to assist staff in identifying and meeting the comprehensive needs of eligible children.</li> </ul>
6.	Provide professional development opportunities with Title I, Part A resources and to the extent practicable, other sources, for administrators, teachers and other school staff who work with participating children.
7.	Provide strategies to increase parent and family engagement, such as family literacy services.
8.	Coordinate and integrate federal, state, and local services and programs, including violence prevention, nutrition programs, housing programs, Head Start, adult education, vocational and technical education and job training.

## SETTING UP A TARGETED ASSISTANCE PROGRAM

### Step One

#### Identify Needs

##### Guiding Questions

- What is the scope/focus?
- On what content areas will the program focus?
- What grade(s) will be served?
- What method of service delivery will be used?

##### Needs Assessment

A school must conduct a comprehensive needs assessment as a part of its School Improvement Plan to determine priority needs. Based on these priority needs, the Title I focus area(s) is determined.

### Step Two

#### Selecting Students

**Eligible Population:** The eligible population for Title I services is

- Children not older than age 21 who are entitled to a free public education through grade 12; and
- Children who are not yet at a grade level at which the local educational agency provides a free public education.

**Eligible Children:** From the population described above, a targeted assistance school identifies children eligible for Title I services who are:

## Selecting Students

- Children identified by the school as failing, or most at risk of failing, to meet the State's challenging student academic achievement standards;
- Children from preschool through grade 2 selected solely on the basis of criteria such as teacher judgment, interviews with parents, and developmentally appropriate measures;
- Children who are economically disadvantaged, children with disabilities, migrant children or limited English proficient children, are eligible for Title I services on the same basis as other children selected to receive Title I services;
- Children who, at any time in the 2 years preceding the year for which the determination is made, participated in a Head Start, early childhood education program, or in preschool Title I services;
- Children who, at any time in the 2 years preceding the year for which the determination is made, received services under the migrant program;
- Children in a local institution for neglected or delinquent children and youth or attending a community day program for such children;
- Children who are homeless and attending any school served by the local educational agency.
- A sample eligibility list for Title I, Part A services in a Targeted Assistance Program can be found in the [Title I, Part A Sample Documents](#) folder.

**Children are then selected for Title I Services:** From the eligible children, a targeted assistance school selects children for Title I services on the basis of multiple, educationally related, objective criteria established by the district and supplemented by the school.

1. Classroom teachers rate and rank only the eligible students in the focus area identified by the needs assessment.
2. Developmental checklists or other screening instruments may be substituted for the ranking sheets in order to more effectively assess the needs of kindergarten-primary 3 (formerly grade 2) students. These checklists may include such criteria as teacher judgment, interviews with parents, and developmentally appropriate measures.
3. The children who are in greatest academic need of assistance are provided Title I services. Each school should keep this data on file. The district Title I coordinator should keep a copy of the school's student ranking data.

*Note: Title I funds may not be used to provide services that are otherwise required by law to be made available to children in a targeted assistance school. Title I funds may be used to coordinate or supplement such services.*

## Step Three

### Designing the Program

#### Guiding Questions

- How will services be provided?
- Which program design model is most appropriate for my school/students based on needs (pull out program, extended time, in-class)?
- Where will services be provided (in-class or after school)?
- What resources are needed?

**In-class Model:** The Title I, Part A funded personnel collaboratively teaches with the regular classroom teacher in order to directly benefit children identified for Title I, Part A services. The focus of collaboration is continuous interaction between classroom and Title I, Part A funded staff to provide appropriate instructional opportunities for all students.

## Designing the Program

The regular classroom teacher helps all children develop skills, concepts and processes in a particular content area that will enable them to meet the academic expectations.

The Title I, Part A funded teacher or paraeducator supports and reinforces the skills and strategies with identified students. The two staff members work together to ensure that identified students learn skills, strategies and concepts that will enable them to be successful.

Suggestions for effective collaboration include:

- Regular and on-going collaborative planning between the regular classroom teacher and the Title I, Part A funded staff
- Building an atmosphere of mutual trust between staff members
- Creating a shared vision of how the staff can work together
- Agree upon the mechanics of working together
- Planning lessons that utilize the talents of the staff
- Planning lessons that provide extra benefits to low-achieving students
- Cooperatively solving problems that arise
- Assessing and addressing the special needs of individual students
- Flexibility in delivering Title I, Part A services

Title I, Part A funded staff may collaboratively teach with regular classroom teachers as long as the effort directly benefits participating children. Targeted students must always receive instruction from the regular classroom teacher. Pullouts may not be routinely scheduled and may not be the only service provided. Title I, Part A services must supplement and support the regular educational program.

**Limited Pull-out Programs:** ESSA requires instructional services to be provided by minimizing the removal of Title I, Part A participants from the regular classroom during the regular instructional day.

Schools must determine the needs of their identified students and then implement the most effective instructional strategies to meet those needs.

A limited pullout program provides instructional services for participating children in a different setting and at a different time than would be the case if those children were not participating in Title I, Part A. A limited pullout program meets the supplement, not supplant requirement if all of the following characteristics are met:

- The project is particularly designed to meet participants' special educational needs.
- The classroom teacher, who would be responsible for the provision of instructional services to participating children in the absence of Title I, Part A, remains responsible for, and continues to perform, those duties the teacher would be required to perform in the absence of Title I, Part A, including planning the instructional program of the participating children, providing them with instructional services, and evaluating their progress.
- Paraeducators paid with Title I, Part A funds work closely with the regular classroom teacher. The classroom teacher is ultimately responsible for the instructional services to participating children in the absence of Title I, Part A.

Participating students pulled from the regular classroom are receiving additional services from the Title I, Part A staff. Title I, Part A cannot take the place of instruction that is provided by the regular classroom teacher. For example, a student receiving Title I, Part A services in reading cannot be pulled from the regular reading class to receive Title I, Part A services because Title I, Part A would then be taking the place of the regular classroom instruction. This is an example of supplanting.

## Step Four

### Continuous Improvement/Evaluate the Program

#### **Targeted-Assistance Programs should be evaluated yearly, at a minimum. Things to consider include:**

1. Does the plan have a clear direction for the school as to what needs to be done when reviewing the data of the student population?
2. How does the school know the desired results have been achieved?
3. Are the services and resources actually achieving the results expected?
4. What is working and what can be improved?
5. How will success be measured?
6. Are the content areas and student populations being targeted experiencing growth?
7. Are students meeting the State's academic standards?
8. Is high-quality scientifically based research being conducted?

#### **At the end of the review:**

1. Re-establish responsibilities, timelines and models needed to implement revised plan.
2. Revise the targeted assistance plan as needed.
3. Go back to Step 1 using revised plan.

# PARENT AND FAMILY ENGAGEMENT

## ESSA Title I, Part A Section 1116

Involving families as partners in the education process is critical throughout a child's academic career. When families support learning, children are more successful in school and school success helps children become successful adults. The district must provide opportunities for families to actively participate in the planning, implementation and review of school and district Title I, Part A programs. The following material is meant to provide an overview of the authorizing statute and should be used in conjunction with the U.S. Department of Education (ED) [Non-Regulatory Guidance for Title I Parent Involvement](#).

According to A-3 of ED's 2004 guidance and [20 U.S.C. §7801\(31\)](#), the term "parent" includes a legal guardian or other person standing in *loco parentis* (such as a grandparent or stepparent with whom the child lives, or a person who is legally responsible for the child's welfare).

### Funding Parent and Family Engagement Activities

Any district with an allocation of more than \$500,000 must set aside 1% of its allocation to carry out the required parent and family engagement activities. At least 90% of the funds set aside for parent and family engagement activities must be distributed to the schools. Districts with an allocation of \$500,000 or less are still required to implement the parent and family engagement requirements in the statute but are not required to have a specified minimum expenditure. Parents must be involved in the decisions as to how the parent and family engagement funds are allocated for parent and family engagement activities.

ESSA Section 1116(a)(3)(D) states that funds reserved by the LEA must be used to carry out [evidence-based activities](#) and strategies consistent with the district parent and family engagement policy. Funds must be used for at least one of the following:

- Supporting schools and nonprofit organizations in providing professional development for the LEA and school personnel regarding parent and family engagement strategies, which may be provided jointly to teachers, principals, other school leaders, specialized instructional support personnel, paraprofessionals, early childhood educators, and parents and family members.
- Supporting programs that reach parents and family members at home, in the community, and at school.
- Disseminating information on best practices focused on parent and family engagement, especially best practices for increasing the engagement of economically disadvantaged parents and family members.
- Collaborating, or providing subgrants to schools to enable such schools to collaborate, with community-based or other organizations or employers with a record of success in improving and increasing parent and family engagement.
- Engaging in any other activities and strategies that the LEA determines are appropriate and consistent with the district parent and family engagement policy.

Districts providing Title I services to private schools must reserve funds for parent and family engagement activities for parents of participating private school children. The funds must be proportionate to the 1% amount reserved for parent and family engagement in public schools.

### Building Capacity for Engagement

ESSA 1116(e)(1-5) explains that to ensure effective engagement of parents as well support a partnership among the school, parents, and the community to improve student academic achievement, each district and school must:

- Assist parents in understanding state academic content standards, state academic achievement standards, state and local academic assessments, the requirements of the Title I, Part A program, and how to monitor their child's progress and work with educators to improve the achievement of their children.
- Provide training and materials to help parents work with their children to improve their achievement, such as literacy and technology training.
- Train staff with the assistance of parents on how to reach out to, communicate and work with parents as partners in their children's education thereby building ties between the parents and the school.
- Implement and coordinate parent programs and activities, such as parent resource centers, that encourage and support parents in participating in the education of their children.
- Ensure that information about school activities and meetings are provided to parents in a format and language they can understand.
- Communicating with parents on a continual basis is key for increasing parent and family engagement. Teachers should make every effort of keeping parents informed of their child's progress.
- Coordinate and integrate parent and family engagement programs with early childhood education programs, Head Start, the Home Instruction Program for Preschool Youngsters, the Parents as Teachers Program, and public preschool to support parents in helping in their children's education.

ESSA 1116(e)(6-13) provides additional suggestions in building engagement, stating that the district may:

- Involve parents in the development of training for staff to improve the effectiveness of the training.
- Pay reasonable and necessary expenses associated with local parent and family engagement activities. This may include providing transportation and childcare to enable parents to participate in school related meetings and trainings.
- Offer meetings at a variety of times and conduct in-home conferences with parents who are unable to attend such conferences at school.
- Adopt and implement model approaches to improve parent and family engagement and provide support for parent and family engagement as requested by parents.
- Establish a districtwide parent advisory council and involve community organizations and businesses in parent and family engagement activities.
- Train parents to help promote the involvement of other parents.
- Provide literacy training if no other funds are available for training.

See [Appendix D](#) for a list of resources to improve parent and family engagement.

### **Recommendations to Develop Effective Parent and Family Engagement**

- Recruit and encourage families to become partners in learning; actively engage parents in planning and learning and target school-parent programs to the needs of the community and families.
- Encourage parents to be more than volunteers; parents participate in planning, review, and evaluation of the program as well as school activities and organizations.
- Communicate with parents to maximize instructional time for students and foster a team effort.
- Follow a philosophy that school is a place where parents, as well as children, can learn and that entire families should use school facilities to meet their needs.
- Communicate information to parents through their native language.
- Provide examples of classroom events (e.g., videos, newsletters, open house, and display of student work) for parents in order to broaden their understanding of the program.



- Provide transportation and childcare services for parents to participate in school activities.
- Develop partnerships with local businesses and community groups to foster successful schools.

## **Parent and Family Engagement in Schoolwide Programs & Targeted Assistance Schools**

All schools receiving Title I, Part A funds, both Schoolwide Programs (SWPs) and Targeted Assistance Programs (TASs), are required to include a parent and family engagement component in their plan. Section 1114(b)(1)(F) of ESSA state that the schools operating an SWP must provide strategies to increase parent and family engagement in accordance with ESSA Section 1116. Section 1115(c)(1)(G) of ESSA details the same requirement for schools operating a TAS program.

The characteristics and actions of an effective parent and family engagement program should be the same no matter what type of Title I, Part A program is in place. The difference between the two will depend on the specific parents receiving services. Title I, Part A parent and family engagement activities should be geared towards the parents of participating children. All students benefit from funds and services in an SWP, therefore all parents are the focus of the parent and family engagement efforts. In a TAS, only certain students receive Title I, Part A services, meaning that the parents of those students are the ones who should receive parent and family engagement services.

## **District Level Parent and Family Engagement Requirements**

### **District Parent and Family Engagement Policy**

Each LEA receiving Title I, Part A funds must develop a written parent and family engagement policy. The policy is developed jointly, agreed upon, and distributed to parents of participating children (ESSA Section 1116 (a)(2)). The policy should be reviewed with parents of participating students and revised as necessary based on their feedback. Documentation of the review and revisions should be on file in the district Title I coordinator’s office.

A written district parent and family engagement policy must establish expectations for parent and family engagement and describe how the district will:

1. Involve parents in the joint development of the district improvement plan outlined in ESSA Section 1112 and the process of school review and improvement under ESSA Section 1116;
2. Provide the coordination, technical assistance and other support necessary to assist participating Title I schools in planning and implementing effective parent and family engagement to improve student academic achievement and school performance;
3. Build the schools’ and parents’ capacity for more effective parent and family engagement described in ESSA Section 1116(e);
4. Coordinate and integrate parent and family engagement strategies with strategies under other early childhood education programs such as Head Start, Parents as Teachers, and Home Instruction Program for Preschool Youngsters;
5. Conduct an annual evaluation of the content and effectiveness of the parent and family engagement policy with parents. The evaluation should include the policy’s ability to improve the academic quality of the schools, including identifying barriers to greater participation of parents, the needs of parents and family members to assist with the learning of their children, and strategies to support successful school and family interactions. Parents should be invited to design strategies for more effective parent and family engagement. Particular attention should be given to parents who are economically disadvantaged, are disabled, have limited English proficiency, have limited literacy, or are of any racial or ethnic minority background;
6. Use the results of the annual evaluation described in (5) above to design “evidence-based strategies” for more effective parental involvement. The district must also revise the parent and family engagement policy if

needed, based on the results of the evaluation (ESSA Section 1116(a)(2)).

7. Involve parents in the activities of schools receiving Title I, Part A funds.

ESSA Section 1116(a)(2)(F) gives districts the option of creating a parent advisory board comprised of a sufficient number and representative group of parents or family members served by the local educational agency to adequately represent the needs of the population served by such agency for the purposes of developing, revising, and reviewing the parent and family engagement policy. See [Appendix E](#) for a district parent and family engagement policy checklist.

### **Annual Evaluation**

The effectiveness of the district's parent and family engagement policy and parent and family engagement activities must be reviewed every year. The evaluation will determine whether:

- The academic quality of the district has improved.
- Parent participation has increased.
- Barriers exist that hinder greater participation by parents.

The evaluation may be conducted through an electronic or written survey, a telephone survey or in person. In addition to summarizing and documenting the evaluation findings, the district must document how the findings will be used to improve the parent and family engagement program. Sample parent surveys and evaluations can be found in the [Title I, Part A Sample Documents](#) folder.

## Parents' Right to Know and Testing Transparency

ESSA 1112(e)(1)(A) and [34 C.F.R. Part 200.61](#) (EDGAR) state that at the beginning of the school year, an LEA must notify the parents of each student attending a Title I school that the parents may request, and the LEA will provide the parents on request, information regarding the professional qualifications of the student's classroom teachers, including, at a minimum, the following:

- Whether the teacher has met State qualification and licensing criteria for the grade levels and subject areas in which the teacher provides instruction.
- Whether the teacher is teaching under emergency or other provisional status through which State qualification or licensing criteria have been waived.
- The baccalaureate degree major of the teacher and any other graduate certification or degree held by the teacher, and the field of discipline of the certification or degree.
- Whether the child is provided services by paraeducators and, if so, their qualifications.

This information should be provided to parents in the fall through a general medium such as a letter or included in a parent handbook. The letter can be included as part of the report card overview if such a document is already being sent by the district. A sample notification of the right to request teacher qualifications can be found in the [Title I, Part A Sample Documents](#) folder.

### Testing Transparency

Each LEA receiving Title I, Part A funds is required by ESSA 1112(e)(2)(A)-(B) to notify the parents of each student attending any school receiving Title I, Part A funds that parents may request information regarding student participation in any assessments mandated by ESSA 1111(b)(2) and by the State or LEA. The LEA will provide the parents on request (and in a timely manner), the information regarding the assessments including a policy, including any state or district policies on student participation, where applicable.

Additionally, the LEA must make widely available through public means (including posting on the LEA website, and where feasible, the website of each school) for each grade served by the LEA, information on each assessment required by the State to comply with ESSA 1111, other assessments required by the State, and assessments required by the LEA, including (where such information is available and feasible to report):

- the subject matter assessed;
- the purpose for which the assessment is designed and used;
- the source of the requirement for the assessment; and
- where such information is available:
  - the amount of time students will spend taking the assessment, and
  - the schedule for the assessment; and
  - the time and format for disseminating results.

Any LEA operating a district website must publish the information regarding testing transparency on that website in a clear and easily accessible manner. ESSA 1112(e)(2)(C) states that LEAs not operating a website must determine how to make the information widely available (i.e., distribution of that information to the media, through public agencies, or directly to parents). The information may also be included in student handbooks, published on individual school websites, or letter form. A sample notice on testing transparency can be found in the [Title I, Part A Sample Documents](#) folder.

## School Level Requirements

### School Parent and Family Engagement Policy

Each school receiving Title I, Part A funds must develop a written parent and family engagement policy. The policy is developed jointly, agreed upon, and distributed to parents of participating children. The policy should be reviewed (and revised as needed) by parents of participating children at the school's annual Title I meeting. Documentation of the review and revisions should be on file in the school as well as at the district Title I coordinator's office.

A school's written parent and family engagement policy must establish expectations for parent and family engagement and describe how the school will:

1. Hold a meeting, at a convenient time, for the families of participating children. All parents and family members of participating children should be invited and encouraged to attend. The purpose of the meeting is to inform families of their school's participation in the Title I, Part A program and explain the requirements associated with the program as well as the right of the families to be involved.
2. Offer a flexible number of meetings (such as before or after school and evenings), and consider providing transportation, child care, or home visits;
3. Involve parents in an organized, ongoing and timely way, in the planning, review, and improvement of the Title I, Part A program including the planning, review and improvement of the school parent and family engagement policy and the joint development of the SWP plan under ESSA Section 1114(b)(2). Families must be notified of the written policy in a format that is easy to understand and in a language the parents can understand. The policy shall be made available to the local community and updated periodically to meet the changing needs of parents and the school.
4. Provide parents of participating children —
  - a. Timely information about Title I, Part A programs;
  - b. School performance reports; including a description and explanation of the school's curriculum, common core state standards, forms of academic assessment used to measure student progress and the proficiency levels students are expected to meet;
  - c. Their student's assessment results;
  - d. Additional opportunities for parents to offer suggestions and participate in decisions relating to the education of their children; and
5. If the SWP plan is not satisfactory to the parents of participating children, submit any parent comments on the plan when the school makes the plan available to the LEA.

## School-Family Compacts

All schools receiving Title I, Part A funds must develop a school-family compact jointly with parents of participating children. The compact should outline how parents, school staff and students will share the responsibility for improved academic achievement as well as how the school and parents will build and develop a partnership to help children achieve Kentucky's high standards. The compact must —

1. Describe the school's responsibility to provide high quality curriculum and instruction to participating children to meet Kentucky's academic achievement standards.
2. Describe how parents will be responsible for supporting their children's learning; this may include items such as volunteering in their child's classroom, participating in decisions relating to their child's education and positive use of extracurricular time.
3. Addresses the importance of establishing effective, ongoing, two-way communication between teachers and parents through, at a minimum —
  - a. Parent-teacher conferences in elementary schools, at least annually to discuss the compact and how it relates to individual student progress and achievement;
  - b. Frequent progress reports to families on student academic progress;
  - c. Reasonable access to staff and opportunities to volunteer, observe and participate in classroom activities.

As is the case with parent and family engagement policies, no two schools should have identical school-family compacts. See [Appendix G](#) for a sample of a school-family compact checklist.

### School-Family Compact Signatures

The Kentucky Department of Education (KDE) requires school-family compacts be signed by all involved parties (school representative, parent/guardian, and student) and kept on file at each school as documentation. Since stakeholders sign the compact itself and turn it in, a best practice is to make a copy of the compact readily available for reference such as in the school handbook or on the school webpage. The language in the Sample Compact Signature Form (located in the [Title I, Part A Sample Documents](#) folder) could be used to collect the necessary signatures and verify all parties have read and agreed to the school-family compact.

ESSA 1116(d)(2)(A) requires the school-family compact be discussed at least annually at parent-teacher conferences in elementary schools. The discussion should include how the compact relates to the individual child's achievement.

### Parents' Right to Know

Participating Title I schools are required by ESSA 1112(e)(1)(B) and [34 C.F.R. Part 200.61](#) to provide each parent with the following:

- Information on the level of achievement of the parent's child in each of the State academic assessments required under [34 C.F.R. Part 200.2](#).
- Timely notice that the parent's child has been assigned, or has been taught for four or more consecutive weeks by a teacher who does not meet applicable State certification or licensure requirements at the grade level and subject area in which the teacher has been assigned. A sample parent notification regarding certification and licensure status of teachers can be found in the [Title I, Part A Sample Documents](#) folder.

### Annual Meeting

All Title I schools must convene an annual meeting, at a convenient time, and invite parents of participating children.

The meeting should inform parents of their school’s participation in Title I, Part A, explain the requirements of the parent and family engagement statute, and the parent’s right to be involved. Some best practices regarding the annual meeting are as follows:

- Offer a flexible number of meetings (before or after school and evenings).
- Provide transportation, child care, or home visits if necessary.
- Involve parents in an organized, ongoing, and timely manner, in the planning, review, and improvement of the Title I program including the planning, review, and improvement of the Parent and Family Engagement Policy and the joint development of the schoolwide program plan.
- Provide parents with timely information about the Title I program; a description and explanation of the curriculum, the forms of academic assessment including a definition of proficiency; opportunities for regular meetings, and to participate in decisions relating to the education of their children and the opportunity to respond to any suggestions.
- Provide an opportunity for parents to submit comments on the schoolwide program plan once the plan is made available to the district.

### Family Engagement and Communications Timeline

<b>September</b>	<ul style="list-style-type: none"> <li>• Review and update parent/guardian notification of parents’ right-to-know, as described in ESSA Section 1112(e) and <a href="#">34 C.F.R. Part 200.61</a> (EDGAR)</li> <li>• TAS: Ensure Title I schools have targeted students, set up files, notified parents, and implemented targeted assistance services.</li> </ul>
<b>October</b>	<ul style="list-style-type: none"> <li>• Design evaluations for district and school family engagement activities.</li> <li>• Ensure each Title I school has provided an informational meeting about the Title I program for families.</li> </ul>
<b>November</b>	<ul style="list-style-type: none"> <li>• Ensure school–family compacts are distributed, signed by stakeholders, and returned to the school.</li> <li>• Ensure each Title I school has published a listing of the opportunities available for families to build their capacity to be actively involved in the children’s education.</li> </ul>
<b>December</b>	<ul style="list-style-type: none"> <li>• Distribute report cards or report card overviews.</li> </ul>
<b>June</b>	<ul style="list-style-type: none"> <li>• Review and update district parent and family engagement policy based on data (e.g., evaluations).</li> <li>• Review and update school parent and family engagement policy based on data (e.g., evaluations).</li> <li>• Review and update school–family compact.</li> </ul>
<b>Ongoing</b>	<ul style="list-style-type: none"> <li>• Engage in family and community involvement. Maintain documentation of these activities (meeting agendas and notes, meeting notifications, sign-in sheets, etc.).</li> <li>• Review and update school parent and family engagement policy based on data (e.g., evaluations).</li> <li>• Review and update school–family compact.</li> </ul>

# SERVICES TO TITLE I ELIGIBLE PRIVATE SCHOOL CHILDREN

## ESSA Section 1117

Title I of Every Student Succeeds Act (ESSA) requires public school districts to provide support to private school students who would be otherwise eligible for Title I services. This section of the handbook specifically addresses the situations in which Title I funds must be used in support of Title I eligible private school children. This section can be used in conjunction with the following U.S. Department of Education (ED) guidance:

- [Fiscal Changes & Equitable Services Requirements \(Nov 21, 2016\)](#)
- [Ensuring Equitable Services to Private School Children Toolkit](#)
- [Providing Equitable Services to Eligible Private School Children, Teachers, and Families \(Oct. 7, 2019\)](#)

### **Determining Equitable Services**

ESSA requires a district to annually offer equitable participation in Title I, Part A services to each private school that has children from participating Title I, Part A attendance areas. The district must offer this participation through timely and meaningful consultation with each private school. The private school may be located within or outside the district. Home schools are treated as private schools for Title I, Part A purposes. Title I, Part A provides services to eligible private school children, not funds to private schools.

In ESSA, equitable participation is measured by the amount of funds spent on children, teachers and families. This means that a low-income private school child living in a participating Title I, Part A attendance area must generate the same per pupil allocation as the low-income public school child living in the same participating Title I, Part A attendance area. To be eligible to receive Title I, Part A services, a child must reside within the attendance area of a participating public school location in a low-income area and be failing or at risk of failing student academic achievement standards. Certain other children may be identified as eligible solely by their status: for example, homeless children and children who in the preceding two years had participated in Head Start, early childhood education program or a Migrant Education program. The allocation for each low-income child in the private school is combined. From these combined funds, the service to all Title I eligible children is provided. Children with the greatest need must be served first. A similar allocation process is used to determine the equitability of professional development and parent and family engagement services for the teachers and families of participating private school children.

### **Equitable Services Under ESSA**

ESSA changes what equitable services look like but most importantly, how they are funded. ESSA section 1117(a)(4)(A) states that private school funding must come off the top of the allocation before any district set asides are allowed. Essentially, a local educational agency (LEA) must determine the proportionate amount of Title I funds received by an LEA prior to any allowable expenditures or transfers of funds.

#### **This includes:**

1. Transfers of funds
2. Reservations for administrators
3. Parent and Family Engagement
4. District-wide initiatives

## Determining the proportionate share

Once an LEA has established the participating public school attendance areas ([see B-1 and B-2 of the Providing Equitable Services to Eligible Private School Children, Teachers, and Families \(Oct. 7, 2019\)](#)) it would first determine the number of children from low-income families residing in each participating public school attendance area who attend public schools and private schools. The LEA would then determine the overall proportion of children from low-income families who reside in participating public school attendance areas and who attend public schools and private schools. Using the proportion of children from low-income families who attend private schools, the LEA would determine the amount of funds available for equitable services based on that proportionate share of the LEA's total Title I allocation.

## Sample Calculations for Determining Equitable Services in Private Schools

District Allocation: \$1,054,706 (*servicing one private school*)

EXAMPLE OF DETERMINING THE AMOUNT OF TITLE I FUNDS FOR EQUITABLE SERVICES			
Public School Attendance Area	Number of Public School Low-Income Children	Number of Private School Low-Income Children	Total Number of Low-Income Children
A	379	4	383
B	341	15	356
C	276	4	280
D	155	1	156
E	146	8	154
F	266	1	267
<b>TOTAL</b>	<b>1563</b>	<b>33</b>	<b>1596</b>
<b>PERCENT</b>	97.93%	2.07%	
<b>PROPORTIONATE SHARE</b>	\$1,032,898	\$21,808	

EXAMPLE OF EQUITABLE SERVICES FOR PARENTS AND FAMILIES OF ELIGIBLE PRIVATE SCHOOL CHILDREN			
LEA'S TITLE I ALLOCATION	1% for parent and family engagement	Proportionate share for equitable services for parents & families <i>(2.07% from previous example)</i>	Source of funds for equitable services for parents & families <i>(proportionate share of \$21,808 under previous example)</i>
\$1,054,706	\$10,547.06	\$218.32	<b>\$21,808 - \$218.32 = \$21,589.68</b> remaining for instruction & professional development

*\$10,328.74 reserved from the \$1,032,898 for Title I activities in public schools for parents and families of participating public school students*

EXAMPLE OF DETERMINING THE AMOUNT OF FUNDS AVAILABLE FOR INSTRUCTION FOR ELIGIBLE STUDENTS IN SPECIFIC PRIVATE SCHOOLS		
Amount of funds for equitable services for instruction, administration, & professional development	After consultation, amount reserved by LEA for administration & professional development	Amount available for instruction in SY 2017-2018
\$21,590	\$1,500	\$20,089.68 <i>(\$21,589.68 - \$1,500)</i>

A provision under ESSA requires that funds received by an LEA that are allocated to services for private school students must "be obligated in the fiscal year for which the funds are received." The guidance explains that this provision is meant to ensure private school students, teachers, and families receive services "in a timely manner." [2019 Guidance \(B-26 through B-31\)](#).



## What is required of each district?

- Districts must provide educational services or other benefits under Title I, on an equitable basis and in a timely manner, to all eligible non-public school children.
- Districts must ensure that teacher and family engagement activities occur on a basis equitable to the participation of their public school counterparts.
- Districts must provide services that are secular, neutral and non-ideological.

## Which private school students are eligible?

- Students must reside in the attendance area of the district. This applies based on location of residence even if the private school is not located inside the district. One caveat is the public school a student would attend if not in private school must be receiving Title I services for the student to be eligible.
- Students must be identified by the district – not the private school – as failing or most at risk of failing to meet the state’s challenging academic standards. This determination should be worked out during consultation (more later) between the private and public-school officials. However, it should be a determination that is as equitable as possible between public and private school children. A sample eligibility list for Title I services can be found in the [Title I, Part A Sample Documents](#) folder.

## Delivery of Service

ESSA does not require specific program designs or delivery methods from school districts regarding servicing private school children. The ED guidance from 2019 notes a few possible options which could be provided directly by the public school district or by a third-party contractor.

The following instructional services can be provided on the premises of the private school, at the public school site, or in mobile classrooms:

- Instructional services provided by public school employees or third-party contractors;
- Expanded learning time, including before-and after-school programs
- One-on-one tutoring;
- Summer school programs;
- Family literacy programs;
- Counseling programs;
- Mentoring programs;
- Computer-assisted instruction;
- Home tutoring;
- Instruction using take-home computers and
- Any combination of the above.

In addition, teachers and families of participating private school students may participate, on an equitable basis, in services and activities provided by Title I funds (ESEA section 1117 (a)(1)(B) [2019 guidance \(C-15\)](#)).

## Timely and Meaningful Consultation

ESSA requires that an LEA provide “timely and meaningful consultation” to eligible private schools that elect to receive services. This should occur between LEA officials that represent the Title I program and private school officials that will help with the consultation process. ESSA does contain new language that states both LEAs and private school officials “shall have the goal of reaching agreement on how to best provide equitable and effective programs to eligible private school children.”

## Which schools must be contacted?

- Every school year (generally in late winter/early spring), an LEA must contact officials from every private school serving students in its enrollment area. A sample letter of notification to private schools and participation survey can be found in the [Title I, Part A Sample Documents](#) folder.
- This includes private schools located outside the LEA's boundaries.

## Consultation Topics

ESSA made substantial changes to the list of required topics that must be covered in a private school consultation. Under Section 1117(b)(1), LEA officials must consult with private school officials on the following topics:

1. How will the LEA identify private school children for services.
2. What services will be offered.
3. How, where, and by whom will the services be provided.
4. How the services will be academically assessed and how the results of that assessment will be used to improve the Title I program.
5. The size and scope of the equitable services to be provided. Also, the proportion of funds that is allocated for these services and how that proportion of funds has been determined.
6. The method and sources of data that will be used to determine the number of children from low-income families in participating school attendance areas who attend private schools, including whether data will be extrapolated if a survey is used.
7. How and when the LEA will make decisions about the service delivery mechanism that the LEA will use to provide equitable services. This discussion must allow for thorough consideration and analysis of private school officials' view on the provision of services through a third-party provider.
8. How, if the LEA disagrees with the private school officials about the provision of services through a contractor, the LEA will provide the private school officials a written analysis of its reasons for the decision.
9. Whether the LEA will provide service directly, or through a separate government agency, consortium, entity, or third-party contractor.
10. Whether to provide services to eligible private school children under a pool arrangement or to individual schools, based on the number of eligible children from each school.
11. When, including the approximate time of day, services will be provided.
12. Whether to consolidate and use Title I funds for equitable services with other ESSA programs.

Ideally, consultation with private school officials should begin in the spring (or earlier) prior to the school year for which services are planned. See [Appendix H](#) for a suggested timeline. At a minimum, however, LEA officials must ensure:

1. Consultation takes place before any decisions are made affecting services to private school children; and
2. Services for private school students begin at the same time as services for public school students, presumably at the start of the school year.

**NOTE:** While an LEA must give full consideration to the views and perspectives of private school representatives, it is the LEA – not the private school – that is charged with making final decisions about the most effective way to raise the academic performance of participating students. ESSA does require in 1117(b)(2) that if, for some reason, after consultation the public school disagrees with the views of the private school on how to best serve the students, the LEA must provide an explanation of the decision in writing to the Private School officials in a timely manner. (Regarding responsibility of the Title I program: [2019 Guidance C-12](#)).

## Assessing the Program

- Nothing in the ESSA or its regulations requires a private school, including a private school whose students receive services under Title I, Part A, to participate in a state's academic assessment system.
- the district provides services to eligible private school students under Title I, Part A, the district must, through timely consultation with appropriate private school officials, determine how to assess academically the services to eligible private school students. [ESSA Section 1117(a)(1)(A), (b)(1)(D)].
- For more information on assessing your private school program please consult the [2019 Guidance](#) D-1 through D-3.

## Ombudsman

ESSA sections 1117(a)(3)(B) and 8501(a)(3)(B) establishes the office of Ombudsman at KDE. The Ombudsman at KDE is the primary point of contact for addressing questions and concerns from private school officials and LEAs regarding the provision of equitable services under Title I and Title VIII. In addition, the KDE Ombudsman monitors and enforces the equitable services requirements and will have a significant role in the state monitoring process. For more information on the Ombudsman, see the [Non-Public School Ombudsman](#) webpage.

KDE Ombudsman Contact Information	
Email	<a href="mailto:kpsso@education.ky.gov">kpsso@education.ky.gov</a>

## Signed Affirmations and the Equitable Services Consultation Form

After the initial consultation, the LEA must submit to the KDE Ombudsman:

- ESSA requires an LEA to maintain in its records, and provide to the SEA, a written affirmation that timely and meaningful consultation has occurred, and that all of the required consultation topics were covered.
- Documentation: Each LEA is expected to maintain in the agency's records, and provide to KDE, a written affirmation signed by the officials of each participating private school that meaningful consultation has occurred. The written affirmation must provide the option for private school officials to indicate their belief that timely and meaningful consultation has not occurred or that the program design is not equitable with respect to eligible school children. If the private school does not provide the affirmation in a reasonable period of time, the LEA should forward all documentation that consultation has – or attempts at consultation – take place. [ESSA section 8501(c)].
- The [Equitable Services Consultation Form](#) is designed to be used when consulting with non-public schools about services provided through the following programs: Title I, Part A; Title I, Part C; Title II, Part A; Title III, Part A; Title IV, Part A; and Title IV, Part B. The forms contained in this form must be used during consultation meetings to guide the conversation between the district and the non-public school. The packet includes a needs assessment section for each program and a consultation agreement at the end of the document. **It is required that each district submit these forms for private schools receiving Title I, Part A services, via GMAP, to the KDE Ombudsman.**
- Once the initial consultation phase and the signed affirmation are completed, the LEA should continue frequent communications with private school teachers and officials to ensure adequate supervision of the program and evaluate its progress.

## Other roles of the KDE Ombudsman

- Serve as a general resource regarding equitable services requirements for both LEAs and private school officials, which may include conducting initial outreach to define the contours of the Ombudsman's responsibilities. Develop, in partnership with other relevant SEA staff, monitoring protocols applicable to the provision of

equitable services and participate in a sample of any monitoring activity.

- Provide technical assistance regarding equitable services requirements for SEA staff administering applicable programs, LEA staff, and private school officials.
- Establish a process for receiving documentation of agreement from LEAs consistent with the consultation requirement that the results of such agreement shall be transmitted to the Ombudsman. [ESSA section 1117(b)(1)].
- Participate in the State’s Title I Committee of Practitioners [ESSA section 1603(b)] and, as applicable, nonpublic schools working group.
- The Ombudsman also should serve as the primary point of contact for responding to and resolving any complaints regarding equitable services that the SEA receives under its ESSA complaint procedures.

Further information about the processes and role of the KDE Ombudsman will be communicated directly from the Ombudsman office.

### **Other Information**

For info on the following topics, please consult the [2019 Guidance](#):

- Control of Title I funds, materials and equipment, C-26
- Supplement vs. Supplant, C-14
- Location of services, C-21
- Religious Symbols, C-23
- Establishment Clause, C-22
- Paraprofessionals, C-31
- Teacher Qualifications, C-30

### **Other Resources**

The following non-public school resources are available in the [Title I, Part A Sample Documents](#) folder:

- Eligibility List for Title I
- End of Year Title I Survey for Private School Teachers
- Letter of Notification and Participation Survey
- Memorandum to Private Schools and Parent Surveys

# PARAEDUCATORS

## ESSA Section 1111(g)(2)(J) and (M)

The following material is meant to provide an overview of the authorizing statute and should be used in conjunction with the U.S. Department of Education (ED) [Non-Regulatory Guidance for Title I Paraprofessionals](#). Visit KDE's [Kentucky Paraeducator Requirements](#) webpage for more information regarding paraeducators in Kentucky.

For the purpose of Title I, Part A, a paraeducator (also called paraprofessional) is an employee of a local educational agency (LEA) who provides instructional support in a program supported with Title I, Part A funds. Paraeducators are vital team members in the delivery of instructional and other services to students. Because paraeducators provide instructional support, they should not be providing planned direct instruction, or introducing to students new skills, concepts, or academic content.

ESSA addresses educational qualifying factors for paraeducators. The qualifications for paraeducators under NCLB remain in place under ESSA. According to Section 1111(g)(2)(J), paraeducators must meet the same qualifications for state requirements "that were in place on the day before the date of enactment of ESSA." These qualifications are listed in ESSA Section 1119(c)(1)(A-C). Specifically, all paraeducators working in a program supported with Title I, Part A funds must have a secondary school diploma or its recognized equivalent. The additional qualifying educational requirement for Title I, Part A funded paraeducators may be met by any one of the following:

- Complete two years of study at an institution of higher education; or
  - "Two years of study" means the equivalent of two years of full-time study as defined by the institution. For some institutions that may mean 12 credit hours per semester (requiring a total of 48 credit hours), while in others it may mean 15 credit hours a semester (requiring a total of 60 credit hours). A paraeducator may obtain an associate's (or higher) degree to meet the ESSA educational requirement. While a paraeducator is not required to take a specific course of study, a paraeducator should be able to demonstrate knowledge of and the ability to assist in instructing in the areas of reading, writing, and mathematics or in readiness.
  - A district may count continuing education credits (CECs) toward the two years of study if the CECs are part of an overall training and development program plan and an institution of higher education accepts or translates them to course credit.
- Obtain an associate's degree (or higher); or
- Meet a rigorous standard of quality and be able to demonstrate, through a formal State or local academic assessment, knowledge of the ability to assist in instructing reading, writing, and mathematics (or as appropriate reading readiness, writing readiness, and mathematics readiness). The purpose of the academic assessment is to demonstrate that paraeducators have the appropriate knowledge and ability to assist in instructing students and are competent in required instructional techniques and academic content areas. The revised 2<sup>nd</sup> edition October 2009 version of the Kentucky Paraeducator Assessment (KPA) is the state's formal academic assessment.

### Individuals Required to Meet the ESSA Educational Requirement

1. Paraeducators with instructional duties in any program supported by Title I, Part A funds must meet the ESSA educational requirement. Individuals who have both instructional and non-instructional duties must meet the ESSA educational requirement because they carry out some instructional support duties.

- For a Schoolwide Program (SWP), all paraeducators with instructional duties must meet the ESSA educational requirement without regard to whether the position is funded with Federal, State, or local funds. In a SWP, Title I funds support all teachers and paraeducators.
  - For a Targeted Assistance Program (TAS), only paraeducators with instructional duties who are paid with Title I, Part A funds must meet the ESSA educational requirement.
2. Paraeducators employed by the district to provide Title I, Part A instructional services to eligible private school students must meet the ESSA educational requirement.

For more information on paraeducator requirements, see the [Non-Regulatory Guidance for Title I Paraprofessionals](#) released by the U.S. Department of Education (ED) under the No Child Left Behind Act of 2001. This guidance is still effective unless otherwise stated by ED.

## **Allowable Duties for Paraeducators**

Each LEA receiving assistance under this part shall ensure that a paraeducator working in a program supported with Title I, Part A funds is not assigned a duty inconsistent with this section.

Paraeducators providing instructional support in a program supported with Title I, Part A funds must work under the direct supervision of a teacher. The supervising teacher should plan and prepare lessons that the paraeducator will implement. For a SWP, all paraeducators with instructional duties must work under the direct supervision of a teacher. For a TAS, only paraeducators with instructional duties who are paid with Title I, Part A funds must work under the direct supervision of a teacher. Direct supervision of a teacher is considered to be:

1. The teacher prepares the lessons and plans the instructional support activities the paraeducator carries out and evaluates the achievement of the students with whom the paraeducator is working; and
2. The paraeducator works in close and frequent proximity with the teacher.

The following programs would be inconsistent with the requirement that paraeducators work in close and frequent proximity to a teacher:

- A program where a paraeducator provides instructional support and a teacher visits a site once or twice a week but otherwise is not in the classroom.
- A program where a paraeducator works with a group of students in another location while the teacher provides instruction to the rest of the class.

Paraeducators who provide services to eligible private school students and are employed by the district must be under the direct supervision of a public school teacher throughout the duration of the services/program being offered.

Paraeducators hired by a third-party contractor to work in a Title I program must work under the direct supervision of a teacher. That teacher does not have to meet the teacher qualification requirement if the third party contractor employs the teacher.

Because paraeducators provide instructional support, they should not be creating lessons for whole group instruction or introducing new skills, concepts or academic content to the whole class. Paraeducators working in a program supported with Title I, Part A funds may provide the following services, under the direct supervision of teachers or other licensed personnel:

1. Provide one-on-one tutoring for eligible students, if the tutoring is scheduled at a time when a student would not otherwise receive instruction from a teacher;
2. Assist with classroom management such as organizing instructional materials;
3. Provide instructional assistance in a computer laboratory;

4. Conduct parent and family engagement activities;
5. Provide instructional support in a library or media center;
6. Act as a translator; or
7. Provide instructional services to students under the direct supervision of a teacher.

Paraeducators providing instructional support in a program supported with Title I, Part A funds may assume limited duties that are assigned to similar personnel who are not working in a program supported with Title I, Part A funds. The limited duties include duties beyond classroom instruction or duties that do not benefit participating children. The amount of time spent on limited duties must be the same proportion of total work time as that of instructional staff at the same school.

## **Funding Professional Development**

Several federal programs provide funds that local school districts may use to provide professional development for paraeducators.

1. **Title I, Part A** funds may be used to support ongoing training and PD to assist teachers and paraeducators working in a program supported with Title I, Part A funds. Title I, Part A funds may also be used for PD to help paraeducators become certified and licensed teachers.
2. **Title II, Part A** (Teacher Quality Program) funds may be used to provide PD activities that improve the knowledge of teachers and principals and, in appropriate cases, paraeducators concerning effective instructional strategies, methods and skills and use of challenging content standards to improve teaching practices and student academic achievement. Title II-A funds may also be used for PD to help paraeducators become certified and licensed teachers.
3. **Title III, Part A** (English Language Acquisition) funds may be used to provide PD for teachers and other instructional personnel providing instruction to students who need English language acquisition and language enhancement.
4. **Title V** funds may be used to provide PD for teachers and other instructional personnel providing instruction to students of the district. Title V spending restrictions due to improvement status have been waived.

# PRESCHOOL AND TITLE I

## ESSA Sections 1112, 1114 and 1115

Preschool can play a major role in providing high-quality early learning experiences to young children. Supporting children's growth, development, and learning in the early years, particularly for children who face significant challenges to successful learning, is an important strategy for ensuring children enter kindergarten ready to learn and succeed. For the purposes of Title I, a preschool program is a program of educational services for eligible children below the age at which the local educational agency (LEA) provides elementary education and is focused on raising the academic achievement of children once they reach school age. The following material is meant to provide an overview of the authorizing statute and should be used in conjunction with the U.S. Department of Education (ED) [Serving Preschool Children Through Title I Non-Regulatory Guidance](#) and [Non-Regulatory Guidance for Expanding Opportunities to Support our Youngest Learners](#).

**Note: Preschool students may not be counted in enrollment and low-income numbers for Title I, Part A ranking and serving purposes. ESSA 1113 states that an LEA would include children, who by State law, are considered to be elementary and secondary students for eligibility and allocation purposes. Kentucky does not include preschool students in the definition of an elementary student.**

Visit KDE's [Preschool/Primary](#) webpage for more information on preschool programs in Kentucky.

### Funding Preschool Programs

A district may reserve funds to operate Title I preschool programs. Those funds may be distributed to other comparable public early childhood education programs (such as Head Start and other early childhood education programs) to operate Title I preschool programs. Public schools receiving Title I funds may use the school's allocation to operate a Title I preschool program. Title I funds may be used to provide services directly to eligible preschool children, help with the transition to kindergarten, and supplement or extend the existing preschool program. Outside providers can be subcontracted using Title I funds.

A district or school is not required to serve preschool students with Title I funds. The district may reserve funds in the district set-asides to serve eligible preschool students in the district as a whole or for a portion of the district; or a participating school may use its Title I funds to serve eligible preschool students. If a district opts to use Title I funding for early learning, a strategy must be developed and described in their Title I plan. This description should include how the district will support, coordinate, and integrate Title I services with early childhood education programs at the district or school level. The plan should also include details on transitioning children from early childhood education to elementary school.

A Title I district or school may use Title I funds to support a district-operated preschool program or a school-operated preschool program. Title I funds may be used in coordination with other preschool programs, too, based on the needs of its eligible students and the most effective way to use the funds. Specifics on using Title I funds for early childhood education can be found in the Non-Regulatory Guidance. The requirements for a targeted assistance school and a schoolwide program apply to services for preschool students.

Kentucky's preschool education programs are available for automatically eligible children (detailed under Eligible Students) as well as all 4-year-old children whose family income does not exceed 160 percent of the federal poverty level, all 3 and 4-year-old children with disabilities meeting criteria for special education services, regardless of income, and other 4-year-old children as placements are available. Title I preschool programs cannot replace those services. Title I preschool programs must supplement the Kentucky preschool programs as Title I funds cannot be used to fund preschools required by state law or local school board policy. Title I funds may be used to expand the



existing required preschool programs.

Before Title I funds can be spent on a preschool, the LEA must first meet state requirements using non-federal dollars. Information on Kentucky's requirements can be found on the [Preschool/Primary](#) webpages.

## **Standards for Preschool Programs**

A district using Title I funds to provide preschool programs to low-income children not served by state-funded preschool must ensure that those services comply at a minimum with the achievement standards established under section [641A\(a\) of the Head Start Act](#). The specific Head Start standards applicable to Title I preschool programs are in regulations at [45 CFR 1302](#).

[The Kentucky Early Childhood Standards](#) document was designed to reflect the range of developmental abilities typical of young children, birth to 5 years of age. Although the Kentucky Department of Education does not require public preschools to design their programs around these standards, districts will want to reference the information as preschool programs are being developed.

If an LEA offers a public preschool education, it must meet all of the ESSA foster care requirements, including ensuring that a child in foster care remains in his/her preschool of origin, unless a determination is made that it is not in the child's best interest. The program must also meet, at a minimum, the education performance standards of the [Head Start Program Performance Standards](#) that are aligned with the [Head Start Child Early Learning Outcomes Framework Ages Birth to Five](#).

## **Eligible Students**

When a Title I preschool is funded at the district level, criteria must be established to identify the children who are most at risk of failing to meet Kentucky's student academic achievement standards. The district must include multiple, educationally related, objective criteria, such as developmentally appropriate measures of child development.

A preschool that is part of a school operating a Title I Schoolwide Program (SWP) is not required to identify children as eligible to participate in the Title I preschool. All children in the attendance area of the school are eligible for preschool services.

A preschool that is part of a school operating a Title I Targeted Assistance Program (TAS) may serve preschool-age children who are failing or most at risk of failing to meet Kentucky's student academic achievement standards as determined by multiple, educationally related, objective criteria established by the district and supplemented by the school. Family income may be used to determine eligibility for a Title I preschool, particularly for the purpose of prioritizing when Title I resources to serve all preschool-age children with other educational needs are insufficient. Children should not be identified for Title I preschool based solely on family income.

Some children are "automatically eligible" to participate in a Title I preschool program. Children who participated in a Head Start or a Title I preschool program at any time during the two preceding years, homeless preschool-age children, migrant education preschool-age children (Title I, Part C) and children in a local institution or attending a community day program for neglected or delinquent children and youth are automatically eligible for Title I preschool and to continue into Title I school programs.

## **Qualifications for Teachers and Paraeducators**

Teachers working in Title I preschool programs in states that consider preschool as part of public elementary education (including Kentucky) must meet the applicable Title I teacher qualification requirements. Districts must hire teachers

with the Interdisciplinary Early Childhood Education (IECE) certificate (or IECE Probationary), an IECE statement of eligibility, or a letter of exemption. Districts must pay all certified teachers on the certified scale. Classified preschool teachers who were lead teachers prior to fall 2004 who do not have an IECE certificate may continue teaching as long as they remain in their positions, but they may not be hired by another district. These teachers are classified as preschool associate teachers. Information on teacher certification is available from the [Kentucky Education Professional Standards Board](#).

The same rules and requirements listed in the [paraeducator section](#) of this handbook apply paraeducators working in a Title I preschool program. A paraeducator does not include individuals who have only non-instructional duties, such as providing personal care services or performing clerical duties.

## Parental and Family Engagement

All children need support from parents, families, schools and communities to be successful. Quality family environments and positive interactions with parents, family members and caregivers are essential to a young child’s development and wellbeing. Children demonstrate higher academic performance, earn higher grades and have improved post-secondary outcomes when school districts implement research-based family engagement activities. Parent and family engagement should begin from birth and continue when children start school. State-funded preschool programs are required to offer parent education and training, as well as develop two-way communication systems with parents. Preschool programs have a critical role to play assisting parents with understanding child development and what children need during each developmental stage. All provisions of parent and family engagement that are required for Title I programs (both SWP and TAS) in Section 1116 are also requirements of a Title I funded preschool except ESSA 1116(d)(2)(A), the discussion of school-family compacts at parent-teacher conferences in elementary schools.

## Transition from Preschool to Kindergarten

When a Title I preschool is funded at the district level, responsibilities must be established to assist children transitioning from preschool to elementary school programs. In its local Title I plan, a district must include how it will coordinate and collaborate with other programs such as Head Start, state-funded preschool, child care and special education.

A preschool that is part of a school operating a Title I SWP must assist children transitioning from early learning programs, such as Title I preschool, Head Start, state-funded preschool, child care, special education and other preschool programs, to kindergarten. The school must include a description of how it will assist preschool children in this transition in its comprehensive SWP.

A preschool that is part of a school operating a Title I TAS must coordinate and collaborate with the school’s regular education program, which may include services to assist preschool children transitioning from early learning programs, such as Title I preschool, Head Start, state-funded preschool, child care, special education and other preschool programs, to kindergarten.

## Title I Preschool

Before Title I funds can be spent on a preschool, the LEA must first meet state requirements using non-federal dollars. Information on Kentucky’s requirements can be found on the [Preschool/Primary](#) webpages.

ESSA Reference	Summary of Requirements
<b>ESSA 1114(a)(1)</b> <b>ESSA 1114(a)(3)</b>	Schoolwide Program (SWP): Preschool students in a school that is served with a SWP Title I program are eligible to be included in the enrollment and served as part

ESSA Reference	Summary of Requirements
<p>ESSA 1114(b)(7)(A) ESSA 1114(b) ESSA 1114(c) ESSA 1115(b)(2)(C)</p>	<p>of the SWP.</p> <p>Targeted Assistance (TAS): If a school is served by Title I funds (SWP or TAS) they may serve preschool students within their attendance zone using a targeted assistance program for preschool students identified as “at risk of failing to meet state standards.”</p>
<p>ESSA 1111(a)(1)(B) ESSA 1114(a)(1) ESSA 1114(a)(3) ESSA 1119(a) ESSA 1119(b) ED Guidance page 10</p>	<p>District (LEA)-Operated: An LEA may reserve a portion of funds from its Title I allocation to operate a preschool program for eligible children in the LEA as a whole or in a portion of the LEA.</p> <ul style="list-style-type: none"> <li>• District (LEA) as a Whole: An LEA may serve preschool children who reside throughout the LEA and whom the LEA identifies as eligible because they are at risk of failing to meet the State’s academic achievement standards when they reach school age. An LEA may not use Title I funds to implement a preschool program throughout the district to benefit all preschool students in the LEA unless all the schools in the LEA are Title I schools operating schoolwide programs.</li> <li>• Portion of the District (LEA): An LEA may serve preschool children who reside in specific Title I school attendance areas (e.g., its highest-poverty school attendance areas) served by some or all of its Title I schools if, for example, an LEA does not have sufficient Title I funds to operate a preschool program for the district as a whole.</li> </ul>
<p>ESSA 1114(a)(1) ESSA 1114(a)(3) ESSA 1112(c)(7) ESSA 1119(a) ESSA 1119(b) ED Guidance page 10</p>	<p>Coordination with Other Early Childhood Programs: An LEA or school may use Title I funds to improve the quality or extend the day or number of days of State preschool, Head Start, child care, or other community-based early learning programs for eligible children. Title I funds may be used to provide preschool services for Title I eligible children who:</p> <ul style="list-style-type: none"> <li>• are not eligible for Head Start services based on income requirements;</li> <li>• are eligible for Head Start but not served in a Head Start center due to unmet need;</li> <li>• are enrolled in a State preschool, Head Start, child care, or community-based early learning program and are in need of additional services (e.g., extending the day, increasing number of days, etc.); or</li> <li>• would benefit from home visiting because they are most at risk of failing to meet the State’s challenging academic standards.</li> </ul>
<p>ED Guidance pages 7-11 and 22-24</p>	<p>In addition to providing direct preschool services, Title I funds may also be used to support early learning in other ways:</p> <ul style="list-style-type: none"> <li>• Professional development for early childhood staff in Title I Preschool</li> <li>• Minor repairs or remodeling to accommodate preschool program</li> <li>• Health, nutrition, and other comprehensive services for children in a Title I preschool</li> <li>• Professional Development for teachers in non-Title I preschools if the children in the program are likely to attend a Title I school in Kindergarten. The preschool program must be coordinated with the Title I school it feeds.</li> </ul>

# TITLE I AND CHILDREN IN FOSTER CARE

## ESSA, Title I Part A, Sections 1111 & 1112

The Elementary and Secondary Education Act (ESEA) as amended by the Every Student Succeeds Act (ESSA) emphasizes the educational stability of vulnerable students, including those in foster care. Children in foster care face many educational barriers, including traumatization, high mobility, and undiagnosed behavioral and health conditions. The following material is meant to provide an overview of the authorizing statute and should be used in conjunction with the [Non-Regulatory Guidance for Ensuring Educational Stability for Children in Foster Care](#), developed by the U.S. Department of Education (ED) and United States Department of Health and Human Services.

ESSA section 1111(g)(1)(E) provides new guidelines for ensuring the educational stability of children in foster care. Title I Part A of ESSA requires local education agencies (LEAs) receiving Title I funds to collaborate with state or local child welfare agencies on local procedures for transportation for students in foster care. This must be accomplished by ensuring that transportation for children in foster care is provided, arranged, and funded. [ESSA 1112(c)(5)(B)]. An LEA must ensure that transportation provided for children in foster care is consistent with the procedures developed by the LEA in collaboration with the state or local child welfare agency under section 1112(c)(5)(B) of ESSA. These requirements apply whether or not the LEA already provides transportation of children who are not in foster care.

An LEA in collaboration with local child welfare agency (LCWA) must ensure that children in foster care needing transportation to the school of origin promptly receive such transportation in a cost-effective manner. [ESSA 1112(c)(5)(B)(i)]. Therefore, the LEA and the LCWA must provide or arrange for adequate and appropriate transportation to and from the school of origin while any disputes are being resolved.

For more information and resources on the education of children in foster care, visit KDE's [Foster Care](#) webpage.

# EDUCATION OF HOMELESS CHILDREN AND YOUTH

## Title IX, Part A reauthorized under ESSA

The McKinney-Vento Homeless Assistance Act was the first and remains the only major federal legislative response to homelessness. The McKinney-Vento Act applies to children and youth age 21 and under, consistent with their eligibility for public education services under state and federal law.

This technical assistance document is intended to provide an overview of the authorizing statute and should be used in conjunction with the U.S. Department of Education (ED) [Non-Regulatory Guidance for the Education for Homeless Children and Youth Program](#). For more information on the education of homeless children and youth in Kentucky, visit KDE's [Title IX, Part A - Education for Homeless Children and Youth](#) webpage.

### Purpose of Homeless Education

Homeless children and youth are to be provided services comparable to those received by other students. The services include transportation services and education programs for which students meet eligibility criteria. These school services may include those provided under Title I or similar state or local programs; access to Early Head Start, Head Start and preschool programs; programs for students with disabilities; programs for students with limited English proficiency; vocational or technical programs; gifted and talented programs; school nutrition programs; and transportation.

The mission of the Kentucky Department of Education's Homeless Education Program is to be a supporter and nurturer of children and youth experiencing homelessness; to help them achieve educational success by ensuring that they have meaningful participation with positive outcomes.

### McKinney-Vento Grant

The Homeless Education Program includes competitive grants. The McKinney-Vento Grant is a competitive grant that is awarded on a three-year cycle. The most recent cycle began in July 2018. A list of [McKinney-Vento Homeless Assistance Act Grant Recipients](#) is maintained on the KDE webpage. Funding amounts will vary dependent upon availability of funds and the following needs (list is not all-inclusive): homeless population, strength of academic services proposed, allowable expenditures and potential start-up programs.

Districts should design a Homeless Education Program that addresses needs identified through a comprehensive needs assessment and is education focused. Budgets should be developed based on the program design and should accurately reflect amounts needed to effectively implement it. The average award for this grant is approximately \$65,000. Districts may or may not receive the total amount requested. The award is based on program design and homeless count. The next Request for Applications (RFA) from local education agencies will take place during the 2020-21 school year.

### Definitions

**Enroll and Enrollment:** Attending classes and participating fully in school activities.

**Unaccompanied Homeless Youth:** A youth not in the physical custody of a parent or guardian and experiencing homelessness. The National Center for Homeless Education's [unaccompanied youth eligibility flowchart](#) can provide guidance on determining status as an unaccompanied homeless student.

**School of Origin:** The school the child or youth attended when permanently housed, or the school in which the child or

youth was last enrolled; including preschools or feeder schools.

**Dispute Resolution:** A process or procedure for parents or unaccompanied youth to use to resolve problems involving educational placement of homeless children/youth.

**Records:** Any information or documentation ordinarily kept by the school such as immunization, medical records, birth certificates, guardianship papers, academic records and evaluations for special services or programs.

**Placement Choice:** Decision for placement is made regardless of whether the child is living with the homeless parents, or has been temporarily placed elsewhere.

**Homeless children or youth** are defined as individuals who lack a fixed, regular, and adequate nighttime residence. The term includes:

1. Children and youth who are:
  - Sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason (sometimes referred to as doubled-up);
  - Living in motels, hotels, (camping) trailer parks, or camping grounds due to lack of alternative adequate accommodations;
  - Living in emergency or transitional shelters;
  - Abandoned in hospitals; or
2. Children and youth who have a primary nighttime residence that is a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings;
3. Children and youth who are living in cars, parks, public spaces, abandoned buildings, substandard housing, bus or train stations, or similar settings; and
4. Migratory children or youth who qualify as homeless because they are living in circumstances described above.

## **Identifying Homeless Preschoolers**

Local liaisons can identify preschool-aged homeless children by working closely with shelters and social service agencies in their area. In addition, the liaison should work with school personnel who can inquire at the time they are enrolling homeless children and youth in school whether the family has preschool-aged children. The district liaison should also collaborate with the school district special education program. The Individual with Disabilities Education Act (IDEA) requires that highly mobile children with disabilities, such as migrant and homeless children who are in need of special education and related services, are located, identified and evaluated. Additionally, IDEA requires that homeless preschoolers and all children be included in the "Child Find" process for early identification of special education needs.

The district liaison should work with preschool program staff to remind them how important their services are for homeless children and to inform them of how waiting lists often create barriers for homeless families who wish to enroll their children. Some preschool programs keep slots open specifically for homeless children.

## **District Requirements**

1. The district must meet all federal requirements regardless of whether they receive McKinney-Vento Grant monies or not. The district must set-aside monies on the Title I Application in GMAP for homeless students and describe the educational services for these students. Funds must be set aside even if no students in the district are currently identified as experiencing homelessness. The services to homeless students in non-Title I schools must be equitable to services provided to Title I students attending Title I schools. If there are no students

identified as homeless, funds should still be set-aside in the event that homeless students are identified during the school year.

2. The district's Title I, Part A application should also include a description of the method used for determining the amount reserved, whether by a needs assessment or some other method (e.g., past homeless student enrollment and support service cost data), and how the liaison was consulted or involved in determining the set-aside. There is not currently a formula for determining the appropriate amount for the homeless set-aside, but four commonly accepted methods are:
  - **Conduct a needs assessment in conjunction with local social services or shelters.** The homeless liaison can work with local homeless assistance agencies, shelters, etc. to determine the services homeless children need and the appropriate amount to pay for them.
  - **Obtain a count of homeless students and multiply the number by the LEA's Title I, Part A per-pupil allocation.** If surveying the school staff, it is crucial to ensure that staff understand the law's definition of homeless as well as prohibitions on segregating or stigmatizing homeless students.
  - **Match or exceed the district's McKinney-Vento subgrant.**
  - **Use a percentage based on district poverty level.** If using this method, the district is recommended to examine comparison data (such as student mobility rates) in order to better estimate the appropriate percentage.

The National Center for Homeless Education's [Determining Title I Set Aside](#) document may provide additional guidance on the subject.

3. A district receiving a McKinney-Vento Grant must set-aside Title I, Part A funds. In addition to the homeless set aside, grant districts must set aside additional funds in the McKinney-Vento set aside. The amount must match the amount of funds the district agreed to in their grant proposal.
4. The district must designate an appropriate staff person to serve as the liaison for homeless children and youth. The liaison may have other duties that include but are not limited to coordinating other federal programs.
5. The district must ensure that homeless children and youth are identified by school personnel and through other entities and agencies.
6. The district is to inform parents or guardians of educational and related opportunities available to their children and must provide them with meaningful opportunities to participate in the education of their children.
7. The district must mediate all enrollment disputes in accordance with the enrollment disputes provision.
8. The district must assist unaccompanied youth in placement/enrollment decisions, consider the youth's wishes in these decisions, and inform the youth of the right to appeal such decisions under the enrollment disputes provision.
9. The district must immediately enroll ALL homeless children and youth in school, even if there is a dispute over school enrollment or placement.
10. The district must assist children and youth in obtaining necessary immunizations or medical records.
11. The district must collaborate and coordinate with state coordinators, community and school personnel, who are responsible for the provision of education and related services to homeless children and youth.
12. The district must fully inform the parent/guardian of a homeless child/youth or any unaccompanied youth of all transportation services available, including transportation to the school of origin.
13. The district must ensure that the school selected for attendance immediately enrolls the child/youth in school, even if he or she lacks records normally required for enrollment. Such records include the previous academic records, medical records, proof of residency, or other documentation.

14. The district must immediately contact the last school attended to obtain relevant academic and other records.
15. The district must keep records normally kept by the school. These records include immunization or medical records, academic records, birth certificates, guardianship records, and evaluations for special services or programs. These records must be available in a timely fashion, when a child/youth enters a new school district and, in a manner, consistent with the Family Educational Rights and Privacy Act of 1974.
16. At the request of the parent/guardian, the district must ensure that transportation is provided to and from the school of origin. In the case of an unaccompanied youth, the liaison may request this service.
17. If the homeless student moves to another school district but continues to attend the school of origin, both districts must decide which district is responsible for transportation costs to the school of origin. If the districts cannot agree, they must share costs and responsibilities equally.
18. The district may use funds for professional development to heighten awareness of the plight of homeless children for his/herself and school employees.
19. Under the school nutrition program homeless children are automatically eligible for free lunch.

## **TITLE I AND HOMELESS CHILDREN AND YOUTH**

ESSA, Title I, Part A, Sections 1114, 1115, 1118

Homeless children and youth are to be provided services comparable to those received by other students. The Stewart B. McKinney-Vento Homeless Assistance Act was the first and remains the only federal legislative response to homelessness. The mission of KDE's Homeless Education Program is to be a supporter and nurturer of homeless children and youth; to help them achieve educational success; and to prepare them for the challenges of adult life. The following material is meant to provide an overview of the authorizing statute and should be used in conjunction with the U.S. Department of Education (ED) [Policy Guidance for Education for Homeless Children and Youth Program](#).

### **Key Provisions in Title I, Part A, Relating to Homelessness**

- Removes "awaiting foster care placement" from the definition of homeless as of December 10, 2016.
- Expands the definition of "school of origin" to include preschool and feeder schools;
- Requires continued enrollment and transportation during any enrollment dispute pending final resolution of the dispute, including all available appeals;
- Expands transportation to the school of origin through the remainder of the school year in which the student becomes permanently housed;
- Requires that all State educational agencies (SEAs) and local educational agencies (LEAs) have policies to remove barriers to identification, enrollment and retention of children and youth who are homeless, including barriers to enrollment and retention due to outstanding fees or fines or absences;
- Requires SEAs to have procedures that ensure that students who are homeless and who meet the relevant eligibility criteria do not face barriers to accessing academic and extracurricular activities, including magnet schools, summer school, career and technical education, advanced placement courses, online learning and charter schools;
- Requires the State Plan describe how youth who are homeless will receive assistance from counselors to advise such youth and improve their readiness for college.



- Requires that the State Plan ensure appropriate access to secondary education including procedures to remove barriers that prevent youth from receiving appropriate for full or partial coursework completed while attending a prior school.
- Requires LEAs to immediately enroll children and youth who are homeless even if they have missed application and enrollment deadlines during any period of homeless.
- Allows LEA liaisons to refer students and their families to needed housing services and to affirm eligibility for students and their families for homeless assistance programs funded by the United States Department of Housing and Urban Development if the liaison has received training;
- Requires that information about a homeless child’s living situation (e.g., homeless status, temporary address) be treated as a student education record and not be deemed to be directory information.
- It targets those students most at risk of failing in school.
- A homeless child/youth attending any school in the district is eligible for Title I services.
- Districts must set-aside funds to provide comparable services to children experiencing homelessness, including providing educationally related support services to children in shelters and other locations where children may live.
- Each district Title I coordinator must include a description and set aside adequate funding on the Title I Application in GMAP of the services that will be provided to homeless children at Title I and non-Title I schools.
- Children/youth who are in homeless situations benefit from Title I services and programs. However, additional Title I funds may be needed to address specific needs of children who are homeless or highly mobile. For example, an excellent reading program implemented in a schoolwide or targeted assistance school will not be effective for children/youth that are unable to attend school regularly. An appropriate expenditure of Title I funds would be to remove barriers that prevent regular attendance or provide additional support, such as tutorial, before and after school and/or summer school programs. Funds other than those set-aside by Title I, Part A, must be used to provide transportation to school of origin.
- District homeless liaisons are required to be appointed in every school district, and district Title I coordinators must communicate and collaborate on an ongoing basis with the liaison to identify the needs of homeless children/youth, review resources, and plan ways to address needs.

### **Expanded Availability and Use of Title I, Part A Funds**

Expanding the availability and use of Title I, Part A funds increases the resources for homeless students.

- The amount of Title I funds reserved for homeless children and youth may be determined based on a needs assessment and must be based on the total allocation received by the LEA and reserved prior to any allowable expenditure transfers by the LEA.
- Title I funds reserved for homeless children and youth may be used for services not ordinarily provided by Title I.
- Title I funds may be used for local liaisons and transportation to a student’s school of origin.

### **Strategies for Serving Homeless Children and Youth and Title I, Part A**

Two principles govern the use of Title I, Part A funds to provide services to homeless students:

1. The services must be reasonable and necessary (as outlined in [2 CFR 200.403\(a\)](#)) to assist homeless students to take advantage of educational opportunities.
2. Title I, Part A funds must be used only as a last resort when funds or services are not available from other public or private sources, such as the USDA’s National School Lunch Program and Breakfast Program, public health clinics, or local discretionary funds (sometimes provided by the PTA) used to provide similar services for

economically disadvantaged students generally.

The [National Center for Homeless Education](#) at SERVE provided the following strategies for using Title I, Part A, funds for students experiencing homelessness. These strategies are suggestions that may be helpful in addressing the needs of homeless students and are taken from an NCHHE brief entitled [Serving Students Experiencing Homelessness Under Title I, Part A](#).

- Establish a formula to allocate Title I set-asides for homeless children/youth.
- Use Title I funds (including set-aside funds) to support the position of a full-time district homeless liaison so that the liaison's duties can be more fully accomplished.
- Use Title I funds to meet basic needs of students experiencing homelessness (clothing, supplies, health) so that they may participate more fully in school. The LEA may use Title I, Part A funds to provide, where appropriate, items or services including, but not limited to –
  - Items of clothing, particularly if necessary to meet a school's dress or uniform requirement;
  - Clothing and shoes necessary to participate in physical education classes;
  - Personal school supplies such as backpacks and notebooks;
  - Birth certificates necessary to enroll in school;
  - Immunizations;
  - Food;
  - Medical and dental services;
  - Eyeglasses and hearing aids;
  - Counseling services to address anxiety related to homelessness that is impeding learning;
  - Fees for college entrance exams such as SAT or ACT; and
  - GED testing for school-age students
- Use Title I funds for parent and family engagement that makes a special effort to reach out to parents in homeless situations.
- Extended learning time (before and after school, Saturday classes, summer school) to compensate for lack of quiet time for homework in shelters or other overcrowded living conditions.
  - Tutoring services, especially in shelters or other locations where homeless students live
- Use set-aside funds for outreach services to children/youth living in shelters, transitional living programs, motels, and other temporary residences.
- Use Title I funds for evidence based programs that benefit highly mobile students.
- Collect data on students experiencing homelessness as part of the overall district-wide data collection system.
- Coordinate Title I and McKinney-Vento grant funds to provide a comprehensive program for children at risk of failure, ensuring that specific needs of children experiencing homelessness or high mobility are met.

## **Collaboration and Coordination between Title I, Part A, and Homeless Education**

Each year, the Title I coordinator and local homeless liaison should work together to determine an appropriate amount for funds to be reserved for homeless students. The two individuals should review data on homeless students in the school district to address the following questions:

- How many homeless students were enrolled in our schools during the past year?
- How many of these students attended non-Title I schools?
- What are the greatest unmet educational needs of homeless children and youth in the district?

Once these questions are answered, the coordinator and homeless liaison should identify activities to meet the needs and

determine the amount for the Title I homeless set-aside, keeping in mind that activities should supplement and not supplant those that are required by the school district. Ways to determine set-aside amounts:

- Base amounts on an annual needs assessment for homeless students
- Multiply the number of homeless students by the Title I-A per pupil allocation
- For districts with sub-grants, reserve an amount equal to or greater than the McKinney Vento funding request

Reserve a percentage based on the district's poverty level or Title IA allocation Meetings between the Title I coordinator and homeless liaison should occur throughout the school year, so that the homeless set-aside funds can be spent appropriately. The Title I coordinator and homeless liaison should be very familiar with each other's program.

Strategies to facilitate collaboration and coordination between Title I, Part A, and Homeless Education include the following. These strategies are suggestions that may be helpful in addressing the needs of homeless students.

- Ensure that district homeless liaisons attend Title I conferences and professional development and that Title I coordinators attend homeless education conferences and in-service
- Share Title I and Homeless Education handbooks with each program.
- Collect and share across the district concrete data on the needs of homeless children/youth.
- Involve Title I coordinators in structured coalition building with homeless education programs and organizations that serve homeless families and unaccompanied homeless youth, and establish common goals.
- Initiate district efforts to make accommodations for homeless children/youth as necessary in such areas as transportation, remaining in the school of origin, records transfer, class scheduling, and special services that will help them enroll, attend, and succeed in school.
- Involve homeless education program staff in school improvement issues; make sure that addressing the needs of highly mobile students is included in the Comprehensive School Improvement Plans, not addressed as a separate issue.
- Emphasize that coordination and sharing of resources is beneficial to the district as a whole because serving homeless children/youth will increase school achievement, lower truancy and dropout rates, and increase overall funding to the district.
- Determine what funding is available to serve homeless children/youth and how it is being used. Identify needs and develop a cross-program approach to address unmet needs.
- Establish and widely disseminate information on district-wide policies, procedures, and guidelines to identify and serve homeless children/youth.
- Ensure district homeless liaison representation on the appropriate district planning committee.
- Include homeless parents in Title I parent and family engagement policies and create opportunities for homeless parents to be involved.

### **Websites Addressing Homelessness**

The following websites contain resources that may be useful to districts and schools in developing and implementing plans to address homelessness:

[Kentucky Department of Education McKinney-Vento Homeless Assistance Act](#)

This site provides specifics regarding the education of children and youth experiencing homelessness in the state of Kentucky.

[National Center for Homeless Education \(NCHE\)](#)

Funded by the U.S. Department of Education, NCHE operates the Department's technical assistance center for the federal [Education for Homeless Children and Youth](#) (EHCY) Program. NCHE works with schools, service providers, parents, and other interested stakeholders to ensure that children and youth experiencing homelessness can enroll and

succeed in school.

[Technical Assistance Collaborative](#)

This site provides information on a full range of federal and mainstream housing programs and policies. These programs expand on affordable housing for people with disabilities and who may be homeless. The site also features a newsletter and links to other sites.

[U.S. Interagency Council on Homelessness](#)

This site contains state and local information on mainstream resources available to assist people who are homeless. News and updates, a library of resources, a phone list of clearinghouses, and links to member organizations and other helpful sites are also available.

# LOCAL INSTITUTIONS FOR NEGLECTED & DELINQUENT CHILDREN

## ESSA Title I, Part A, Section 1113

A district must provide for the educational needs of children in identified local institutions for neglected children. The following material is meant to provide an overview of the authorizing statute and should be used in conjunction with the U.S. Department of Education (ED) [Non-Regulatory -Guidance for Neglected, Delinquent, or At-Risk Children](#). Visit KDE's [Title I, Part D](#) webpage for more information on services for neglected and delinquent children as well as a [list of facilities for neglected children](#) in Kentucky.

### Definition

Children who reside in a local institution for neglected children are counted as eligible for the Title I, Part A allocation. The Cabinet for Families and Children identifies the institutions and their numbers of formula children based on a child count taken in October. The children in these institutions must receive some type of Title I educational service. Any local institution for neglected children not included in the count may also be served at the discretion of the district. A local institution for neglected children is not considered a private school.

### Funding Institutions for Neglected and Delinquent Children

The amount of funds generated by children in local institutions for neglected children is a part of the Title I, Part A allocation. Before allocating funds to public schools, a district should consult with officials from the identified institutions and then reserve funds that are reasonable and necessary to serve children in local institutions for neglected children and those neglected children who are in community day school programs. Services should be comparable to those provided to children in participating Title I schools. If there is more than one institution in the district, the needs of each institution's educational program should be considered in determining the amount of funds for services to each institution. The number of children that reside in each institution on an average basis may also be used in determining the amount of funds to be expended for services to a particular institution.

### Consultation

The district must consult with officials from the institution(s) to determine the type of services, including conducting a needs assessment. Documentation must be on file in the district Title I office that demonstrates institution officials are being consulted in a timely, on-going manner.

### Services

Services are provided to any children residing in a local institution for neglected children. Particular children are not identified for services since these children are very mobile. The district set-asides section of the Title I Application in GMAP must contain a brief description of Title I educational services for children in locally operated institutions for neglected and delinquent children. A needs assessment must be conducted to determine Title I services. Many students in the institution are served by Title I in the public schools they attend. The following are examples of Title I services that may be provided to children in the institution:

- Tutors to work with students in addition to the assistance being provided to children who are attending

public schools and receiving Title I services.

- Counseling/peer mediation services to help children in the transition from the institution to school.
- Computers and software to assist children with homework, reinforce concepts, etc.
- Books and materials such as encyclopedias, dictionaries and high interest/low vocabulary books to provide students with additional assistance. The books and materials cannot be religiously affiliated.

### **Religiously Affiliated Institutions**

It is allowable for Title I personnel to go on the property to provide Title I educational services.

### **Evaluation**

There is no separate evaluation for children in local institutions for neglected children for Title I accountability purposes.

### **Other**

If a district is unable or unwilling to provide services to children in local institutions for neglected children, the state must reduce the district's allocation by the amount generated by the neglected children. Then KDE may transfer the funds to another district that agrees to assume educational responsibility for the neglected children. KDE may retain the funds if KDE assumes educational responsibility for the neglected children. If the institution closes and the children are transferred to an institution in another district, KDE must adjust the allocations of the two districts to reflect the transfer.

## **TITLE I AND ENGLISH LEARNERS**

### **ESSA Sections 1111 and 1112**

English Learners (ELs) are those students whose primary language is a language other than English [See ESSA 8101(20) for full definition]. ELs are an extremely diverse group of students, representing hundreds of language backgrounds and nationalities (including many born in the US). An EL student may be from any grade, academic proficiency, or socioeconomic level in our society. The only characteristics shared by all ELs are a lack of English proficiency and the need for linguistic support to help them access opportunities, both academic and otherwise, in schools where English is the language of instruction. The purpose of this section is to highlight the role of ELs in ESSA as well as briefly outline the requirements in serving EL students.

### **ENGLISH LEARNERS AND THE EVERY STUDENT SUCCEEDS ACT**

Previously referred to as *Limited English Proficient (LEP)* or *English Language Learners (ELLs)*, the Every Student Succeeds Act (ESSA) replaced this language with the more student-first term, *English Learner*. This shift in terminology reflects a focus on the learner rather than a perceived limitation. ESSA also expanded the attention given to the academic and language proficiency aspects of ELs' participation in school. Expectations for serving ELs are found in nearly all formula grant programs. Discussions about ELs cannot be limited to Title III alone; Civil Rights laws, Title I, and Title III all contain requirements for serving EL students. An understanding of all requirements as well as increased cooperation between programs are necessary for providing effective EL programming and services.

### **BASIC REQUIREMENTS UNDER FEDERAL LAW**

All districts and schools have an obligation to provide appropriate services under Title VI of the Civil Rights Act of 1964 and the Equal Education Opportunities Act (EEOA) of 1974. Civil Rights and EEOA required EL services cannot be paid for with

Title I or Title III funds. All districts have an obligation under these laws to:

- Identify and assess all potential EL students;
- Provide EL students with a language assistance program;
- Staff and support EL programs;
- Provide meaningful access to all curricular and extracurricular programs;
- Avoid unnecessary segregation of EL students;
- Evaluate EL students for special education services and provide special education and English language services;
- Meet the needs of EL students who opt out of EL programs or particular EL services;
- Monitor and exit EL student from EL programs and services;
- Evaluate the effectiveness of the district’s EL program; and
- Ensure meaningful communication with limited English proficient parents.

For more information on these legal obligations, see the [January 7, 2015 Dear Colleague Letter](#) issued by the Office for Civil Rights (OCR) at the U.S. Department of Education (ED) and the Civil Rights Division at the U.S. Department of Justice (DOJ). ED and DOJ are both responsible for enforcing Title VI in the education context while DOJ is responsible for enforcing the EEOA. KDE’s [District Guide for English Learners Program](#) provides additional support for meeting these requirements.

## REQUIREMENTS UNDER TITLE I, PART A

The following chart outlines the requirements for ELs under Title I, Part A. Many of these requirements are not new, but rather have been moved from Title III to Title I.

### Assessment and Accountability Requirements

The following chart provides a brief summary of the assessment and accountability requirements for serving ELs under Title I, Part A.

Title I, Part A Requirement	Summary and Significance
<b>English Language Proficiency Standards</b> <i>ESSA 1111(b)(1)(F)</i>	Each state must adopt ELP standards that are derived from the 4 recognized domains of speaking, listening, reading, and writing; address the different proficiency levels of ELs; and are aligned with the challenging state academic standards.  <b>As a member of the WIDA consortium, Kentucky adopted the WIDA English Language Development Standards to meet this requirement.</b>
<b>English Language Proficiency Assessment</b> <i>ESSA 1111(b)(2)(G)</i>	Each state must demonstrate that LEAs will provide an annual assessment of ELP of all ELs and that the assessment is aligned with the state’s ELP standards. (Note: This requirement has always been included under Title I, Part A. ESSA removed the identical requirement from Title III).  <b>As a member of the WIDA consortium, Kentucky uses WIDA’s ACCESS for ELLs 2.0 as the annual ELP assessment.</b>
<b>Accountability: English Learner Subgroup</b> <i>ESSA 1111(b)(3)(B)</i>	Former ELs are to be included in the EL subgroup for accountability purposes for 4 years. Prior to ESSA, they were included for only 2 years.
<b>Accountability: Long Term Goals</b> <i>ESSA 1111(c)(4)(A)(ii)</i>	Each state must establish ambitious, state-designed, long-term goals, which include measures for ELs for proficiency on content assessments and increases in the percentage of ELs making progress in achieving ELP within a state-determined timeline.

Title I, Part A Requirement	Summary and Significance
	<b>Districts receiving Title I funds are now held accountable for this measure rather than only districts receiving Title III funds.</b>
<p><b>Accountability: Annual Meaningful Differentiation</b> <i>ESSA 1111(c)(4)(C)</i></p>	<p>Accountability determinations known under NCLB as Adequate Yearly Progress (AYP) are now known as Annual Meaningful Differentiation (AMD). AMD includes separate accountability indicators for ELs and the requirement to include differentiation for underperforming subgroups.</p> <p><b>A school may be identified for Targeted Support and Improvement (TSI) based solely on the academic of ELP performance of the EL subgroup, allowing school improvement funds to be used for ELs for the first time when available.</b></p>

## Parent Engagement Requirements

ESSA 1112(e) includes several requirements related to the parents of all ELs in the district. Section E of the [Non-Regulatory Guidance](#) contains additional information on engaging the parents of ELs.

### Parent Notification

ESSA 1112(e)(3)(A-B) requires each district using funds under Title I, Part A or Title III, Part A in order to provide services to ELs to provide parents with notification of their child’s identification as an EL and their placement in a language instruction educational program (LIEP). The parental notification must include:

- The reason for the identification of the child as an EL;
- The child’s level of English language proficiency, how the level was assessed, and the status of the child’s academic achievement;
- Methods of instruction used in the program in which the child is, or will be, participating, and the methods of instruction used in other available programs, including how the programs differ;
- How the program will meet the educational strengths and needs of the child and help the child achieve English language proficiency, and meet academic standards;
- Exit requirements for the program, expected rate of transition to a classroom not tailored for EL students, and expected rate of high school graduation;
- In the case of a child with a disability, how the program meets the annual goals in the child’s individualized education program (IEP); and
- Information regarding parents’ right to withdraw the child from a program upon their request, and to decline enrollment or choose another program or method of instruction, if available.

This notification must be provided no later than 30 days after the beginning of the school year or within the first two weeks of placement in an LIEP for students who enroll after the start of the school year.

### Parent Participation

ESSA 1112(e)(3)(C) states that each district must implement an effective means of outreach to the parents of all ELs to inform them of how they can:

- be involved in the education of their children; and
- be active participants in assisting their children to:
  - attain English proficiency;



- achieve at high levels within a well-rounded education; and
- meet the challenging state academic standards expected of all students.

Implementing an effective means of outreach must include holding, and sending notice of opportunities for, regular meetings for the purpose of formulating and responding to recommendations from the parents of ELs.

#### **Notice and Format**

ESSA 1112(e)(4) requires the notice and information provided to parents under ESSA 1112(e) be in an understandable and uniform format and, to the extent practicable, provided in a language that the parents can understand. This is specific to the parent notification and outreach requirements of Title I, Part A. Providing translation and interpretation services related to core instruction and the core EL program are district requirements under the civil rights laws.

#### **Coordination with Other Programs**

ESSA 1112(c) states that the district's Title I, Part A plan must assure that the district will coordinate and integrate services provided under Title I, Part A with other educational services at the district or school level, such as services for ELs, in order to increase program effectiveness, eliminate duplication, and reduce fragmentation of the instructional program.

The Title I program should support and supplement the district's core EL program as well as work in cooperation with the EL and/or Title III programs in order to maximize resources. The two programs should collaborate to design programs and interventions which address the needs of EL students. The regular sharing of information and expertise will allow both programs to provide effective services to ELs.

## Title III, Part A

Title III of the Elementary and Secondary Education Act (ESEA) is part of legislation enacted to ensure that ELs, including immigrant children and youth, develop English proficiency and meet the same academic content and academic achievement standards that other children are expected to meet. The purposes of Title III are [See ESSA 3102]:

1. To help ensure ELs attain English proficiency and develop high levels of academic achievement in English;
2. To assist ELs in achieving high levels in academic subjects so they can meet the same challenging academic standards all children are expected to meet;
3. To assist in establishing, implementing, and sustaining effective programs designed to assist in teaching ELs;
4. To assist in the development and enhancement of the capacity to provide effective instructional programs designed to prepare ELs to enter all-English instructional settings; and
5. To promote parent, family, and community engagement in programs and services for ELs.

Title III provides Districts with EL students can apply for a Title III subgrant. To qualify as a stand-alone Title III district, a district must have enough EL students to generate \$10,000. Districts which do not meet that requirement can join or form a consortium with other districts. Districts creating a consortium must qualify for a minimum of \$10,000 in subgrant allocations combined. Title III funds are supplemental to local, state, and federal funds and therefore cannot be used to meet any of the Civil Rights requirements [See ESSA 3115(g)].

Title III funds must be used by districts to provide EL programs, provide professional development to teachers and school leaders related to meeting the academic and language needs of ELs, and deliver activities that promote EL parent, family, and community engagement [See ESSA 3115(c)]. These requirements must be met before Title III funds can be used for other activities.

For more information on Title III, consult ED's [Non-Regulatory Guidance: English Learners and Title III of the Elementary and Secondary Education Act \(ESEA\), as amended by the Every Student Succeeds Act \(ESSA\)](#) and [Non-Regulatory Guidance Addendum](#), as well as KDE's [Title III - English Learner and Immigrant Students](#) webpage.

### Hierarchy of Funding for English Learner Programs

Districts must provide a core EL program prior to utilizing Title I and Title III funds for services. The following list outlines the succession of programs and funding sources used with ELs eligible for both Title I and Title III services.

1. **Core Instruction** – The core instruction program is provided to all students using state and local funds.
2. **Core EL Program** – The core EL program is required by federal law (see *Lau* 1974 and *Castañeda* 1981) and is provided to all EL students. The English development services provided in the core EL program are in addition to the core instruction program. State and local funds must be used to provide this program; federal funds (such as Title I and Title III) *cannot* be used to provide the core EL program.
3. **Title I, Part A** – The Title I, Part A program includes supplemental services for Title I eligible EL students. In a schoolwide program, all EL students are eligible. In a targeted assistance program, EL students are eligible using the same criteria as all students. Title I federal funds can be used to provide academic support to students (including ELs) to meet challenging state academic achievement standards. Districts may use Title I, Part A funds to provide an LIEP for Title I eligible EL students.
4. **Title III, Part A** – The Title III, Part A program provides supplemental language development services to all EL students regardless of Title I participation. The Title III program is above and beyond the core instruction, core EL program, and if applicable, Title I services. Districts are required to use Title III funds to provide EL programs, professional development, and parent, family, and community engagement activities. Once these requirements have been met, districts may not have enough Title III funding left to cover the EL requirements under Title I. Title III funds may be used to meet the Title I EL requirements *only* if all Title III requirements have been met.

## Additional Resources

- The Council of Chief State School Officers' (CCSSO) [Major Provisions for Every Student Succeeds Act \(ESSA\) Related to the Education of English Learners](#)
- The Office of English Language Acquisition's (OELA) [English Learner Toolkit](#)
- KDE's [English Learner and Immigrant Resources](#) webpage

## TIME AND EFFORT – PERSONNEL PAID FROM TITLE I

Employees whose compensation is supported with Title I funds (or any federal funding source) must maintain appropriate records demonstrating the amount of time they worked on Title I. This applies to staff at the district and school level paid completely or partially from Title I funds. These records are often referred to as “time and effort” records. Time and effort logs must reflect an after-the-fact distribution of the actual activity of the employee.

Any federal cost, including salaries, must be allocable; that is, provide a benefit to the program that is proportionate to the relative benefits received. Federal funds can only pay for goods or services to the extent there is a chargeable benefit to the federal program. As an example, consider a school operating targeted assistance program (TAS). The school plans to set up a computer lab that will be used by Title I students 50 percent of the time and used by all students for the remaining 50 percent. Title I funds may only pay for 50 percent of the cost of the computer lab and the program must maintain records documenting, at a minimum, the total cost of the computer lab, the amount paid by Title I and other sources, and that the actual use of the computer lab by the Title I program was actually 50 percent of the time the lab was used.

[2 C.F.R. 200.430](#) states that the salaries and wages of employees who work on federal programs may be paid with federal funds as long as appropriate time distribution records are maintained. These records must:

- Be supported by a system of internal controls that provides reasonable assurance that the charges are accurate, allowable, and properly allocated;
- Be incorporated into official records;
- Reasonably reflect total activity for which the employee is compensated, not exceeding 100 percent of compensated activities;
- Encompass both federally assisted and all other activities compensated by the district on an integrated basis;
- Comply with the established accounting policies and practices of the nonfederal entity; and
- Support the distribution of the employee’s salary or wages among specific activities or costs objectives.

The frequency of reporting depends on whether an employee works on a single “cost objective” or multiple “cost objectives.” A cost objective is defined as follows: A function, organizational subdivision, contract, grant, or other activity for which cost data are needed and for which costs are incurred. A single cost objective can be, for example, a single function, a single grant, or a single activity. It is possible to work on a single cost objective even if an employee is paid with more than one Federal award or on a Federal award and a non-Federal award. The key to determining whether an employee is working on a single cost objective is whether the employee’s salary and wages can be supported in full from each of the Federal awards on which the employee is working, or from the Federal award alone if the employee’s salary is also paid with non-Federal funds. For example:

- District coordinator who works full time as administrator of the Title I program for public and private school students.

- A classroom teacher who works part time in a 4<sup>th</sup> grade classroom, and part time in the afterschool program would be considered an employee working with more than one cost objective.

### Personnel Working with One Cost Objective

- District personnel whose salary is paid in whole from Title I funds must certify, on a semiannual basis (twice a year), that he/she worked solely on that program for the period covered. This is referred to as “semi-annual certification.”
- The certification must indicate the period covered by the certification and must be signed by the employee and the supervisor who has first-hand knowledge of the work performed.

A sample semi-annual certification is located in the [Title I, Part A Sample Documents](#) folder.

### Personnel Working with More than One Cost Objective

- District personnel working with more than one federal program (or combination of federal and nonfederal programs) must maintain monthly Personnel Activity Report (PAR) of the number of hours the employee worked directly with Title I and other duties unless the employee has a regular schedule. The report must reflect an “after-the-fact distribution” of the employee’s actual activity and must account for the percentage of time for which the employee is paid from each program.
- The monthly activity report must be signed by the employee and supervisor who has first-hand knowledge of the work performed.
- School personnel in a targeted assistance school partially funded with Title I funds must have a schedule (or a PAR). The schedule should specify the amount of time working directly with the Title I program and should include “non-instructional” duties. A schedule or PAR is not required for school personnel in a schoolwide program who are partially funded with Title I funds if the school is consolidating its Part A funds with other funds.

#### Sample Completed PAR

PERSONNEL ACTIVITY REPORT (PAR) for District Personnel Working with More than 1 Program									
Employee Name: John Smith					Month: September 2018				
Reporting Period	PROGRAM	PROGRAM	PROGRAM	TOTAL HRS PER DAY	Reporting Period	PROGRAM	PROGRAM	PROGRAM	TOTAL HRS PER DAY
Day of Month	Title I, Part A	Title I, Part C			Day of Month	Title I, Part A	Title I, Part C		
1	2	5		7	16				
2					17				
3					18	2	5		7
4					19	2	5		7
5	3	5		8	20	1	5		6
6	1.5	5		6.5	21	1	5		6
7	2	5		7	22		5		5
8		5		8	23				
9					24				
10					25	3	5		8
11	1	5		6	26	1	5		6
12	3	5		8	27	2	5		7
13	2.5	5		7.5	28	3	5		8
14		5		5	29	3	5		8
15	3	5		8	30				
					31				
TOTALS 1-15	18	50		68	TOTALS 16-31	18	50		68

This certifies that the employee has completed work during the time period for the federal programs as indicated.	
Employee Signature: <i>John Smith</i>	Supervisor Signature: <i>Jane Doe</i>

A blank PAR report is located in the [Title I, Part A Sample Documents](#) folder.

## Substitute System for Personnel Activity Reports

Maintaining a monthly PAR has proved difficult and time-consuming for many employees in previous years. In September 2012, the U.S. Department of Education (ED) released [guidance](#) that permits a state educational agency (SEA) to approve a local educational agency’s (LEA) substitute system for time and effort reporting that meets the elements outlined in the guidance. This guidance permits an employee working on multiple cost objectives to complete a semi-annual certification submitted along with an acceptable work schedule instead of a monthly PAR. In order for an employee working on more than one cost objective to be eligible to complete a semi-annual certification rather than a PAR, the following conditions must be met:

1. The employee works a schedule that includes multiple cost objectives;
2. The work on those multiple cost objectives is “predetermined” (i.e., a teacher’s lesson plan);
3. The employee is not permitted to work on different cost objectives at the exact same time on their schedule; and
4. The documentation of the employee’s schedule (which is used in lieu of the PAR) must:
  - a. Indicate the specific activity or cost objective that the employee worked on for each segment of the employee’s schedule;
  - b. Account for the total hours for which the employee is compensated during the period reflected on the employee’s schedule;
  - c. Be certified at least semi-annually and signed by the employee and a supervisory official having firsthand knowledge of the work performed by the employee;
  - d. Include documentation and certifications for any revisions to an employee’s established schedule that continue for a prolonged period with effective dates clearly indicated; and
  - e. Include documentation by the employee using a PAR that covers any periods for which significant deviations occur from the established schedule that require work on multiple activities or cost objectives at the same time.

If an employee working on multiple cost objectives is unable to meet these conditions, the employee must maintain a monthly PAR. In order for the LEA to use this alternate time and effort documentation, they must receive prior approval from the SEA. The request to use a substitute system for time and effort reporting must include the following information:

- Certification that only eligible employees will participate in the substitute system;
- Certification that the system used to document employee work schedules includes sufficient controls to ensure that the schedules are accurate as well as a description of those controls; and
- A full disclosure of any known deficiencies with the system or known challenges with implementing the substitute system.

Districts requesting to use a substitute system for time and effort reporting must submit this information to their [Title I Consultant](#) for review.

## Time and Effort Records with Consolidated Funds

The main question concerning employees working in schoolwide programs in which funds have been consolidated (under ESSA 1114(a)(3)) is whether these employees are working on one cost objective or multiple cost objectives.

- **If federal funds are consolidated with nonfederal funds**, the federal funds lose their identity as federal dollars. In this situation there is no distinction between staff paid with federal funds and staff paid with state or local funds. Employees paid with consolidated funds are not required to file semi-annual certification or any other form of time and effort records (such as PARs).
- **If federal funds are not consolidated with nonfederal funds**, time and effort documentation must be maintained. This applies to districts which do not consolidate any funds as well as districts which consolidate federal funds separate from nonfederal funds. Employees in either of these situations are required to complete either semi-annual certifications (employees working on one cost objective) or PARs (employees working on multiple cost objectives).

For more information, see question E-17 of ED's 2008 [Title I Fiscal Issues Non-Regulatory Guidance](#).

Reference:

Manasevit, L.M., Esq., Winters Kessler, T., Esq., & Tosh Cowan, K., Esq. (2016). *ESSA Moving Toward a Well-Rounded Title I* (United States, LRP Publications). Palm Beach Gardens, FL: LRP Publications

## Appendix A – Title I Coordinator’s Year at a Glance

August	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Review and update student selection criteria sheet and student selection procedure for TAS programs.	<input type="checkbox"/>
• Submit final financial report to GMAP	<input type="checkbox"/>
• Review and update parent/guardian notification materials (Accountability Statues, right-to-know letters, etc.). Distribute no later than the beginning of the school year.	<input type="checkbox"/>
• Consult with LEA staff on comparability requirements (list of Title I vs. non-Title I).	<input type="checkbox"/>
• Review and revise parent and family engagement policies and/or plans in consultation with parents.	<input type="checkbox"/>
• Develop a system to collect and organize documentation related to the district’s Title I program for state monitoring reviews.	<input type="checkbox"/>
• Update contact information with SEA, if needed.	<input type="checkbox"/>
• Send parental notification for Parents’ Right to Know.	<input type="checkbox"/>
September	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Distribute District and School Report Cards. This should be done at the beginning of the school year, no later than October.	<input type="checkbox"/>
• Collect school schedules of annual fall parent orientation meetings. These meetings should be conducted by the end of October.	<input type="checkbox"/>
• Review and update Title I personnel lists for each building.	<input type="checkbox"/>
• Review and update parent/guardian notification of parents’ right-to-know (send by October).	<input type="checkbox"/>
• Identify data collection method for comparability calculations.	<input type="checkbox"/>
• Establish a process for ongoing collaboration with the local homeless liaison for identifying homeless student needs and services as appropriate.	<input type="checkbox"/>
• Consult with participating facilities for neglected and delinquent youth to develop an evaluation of services.	<input type="checkbox"/>
• Ensure that all applicable parent notifications have been disseminated by direct and indirect means.	<input type="checkbox"/>
• Ensure that all schools have Title I plans (e.g., school improvement plans) aligned to use of funds.	<input type="checkbox"/>
October	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Initiate planning process for new SWPs, if applicable.	<input type="checkbox"/>
• Design evaluations for Title I funded parent and family engagement plans as well as professional development activities for impact on student learning.	<input type="checkbox"/>
• Collect and submit headcount data for student participation, Title I-A private school participation and Title I-D neglected and delinquent programs on GMAP.	<input type="checkbox"/>
• Submit requests to amend budgets, as needed.	<input type="checkbox"/>
• Calculate comparability based on October data and make appropriate adjustments to Title I schools shown to be non-comparable.	<input type="checkbox"/>
• Review and update needs assessment and program evaluation procedures, as needed.	<input type="checkbox"/>
• Review and update school improvement plans for Title I schools with accountability status, if applicable.	<input type="checkbox"/>
• Send parent/guardian notification of Parents’ right-to-know.	<input type="checkbox"/>
• Conduct annual Title I meeting and collect evidence of the meeting.	<input type="checkbox"/>
November	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Determine which month LEA collects ESSR data (total # enrolled and total # low-income). NOTE: Direct Certification data is collected on April 1. Free/Reduced lunch data may be collected from any month within same year.	<input type="checkbox"/>
• Ensure Title I schools have created rank-ordered student selection lists of Title I students in TAS programs.	<input type="checkbox"/>
• Ensure schools have documented the distribution of school-family compacts (e.g., copies of signed compacts, signatures of parents who have received the compact).	<input type="checkbox"/>
• Review and revise SWP plan or TAS program plan, as needed.	<input type="checkbox"/>
• Monitor dissemination of LEA parent and family engagement policy and school-parent and family engagement plans.	<input type="checkbox"/>

• Submit requests to amend grants, as needed.	<input type="checkbox"/>
• Submit Comparability Report on GMAP.	<input type="checkbox"/>
• Ensure Title I schools with TAS programs have set up files, notified parents, and implemented services.	<input type="checkbox"/>
<b>December</b>	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Submit requests to amend grants, as needed.	<input type="checkbox"/>
• Monitor implementation of parent and family engagement plans.	<input type="checkbox"/>
• Ensure that methodology regarding supplement not supplant is on file at the district.	<input type="checkbox"/>
<b>January</b>	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Submit requests to amend grants, as needed.	<input type="checkbox"/>
• Collect semi-annual certifications (1 of 2) for Title I personnel whose compensation is funded solely from Title I and for personnel using the substitute time and effort system.	<input type="checkbox"/>
• Establish a plan and timeline for working with other federal programs in the district to coordinate the consolidated application in the next year.	<input type="checkbox"/>
<b>February</b>	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Submit requests to amend grants, as needed.	<input type="checkbox"/>
• Coordinate with early childhood programs to plan transition of preschool students.	<input type="checkbox"/>
• Consult with appropriate LEA staff on comparability requirements (e.g., staff assignments, staff/student ratios, and per pupil expenditures) for the next school year.	<input type="checkbox"/>
• Determine roles, responsibilities, and timeline of appropriate LEA representatives to determine comparability requirements.	<input type="checkbox"/>
<b>March</b>	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Submit requests to amend grants, as needed.	<input type="checkbox"/>
• Use available data (e.g., economically disadvantaged, other low-income data, or a combination of poverty indicators) to determine eligible schools for Title I services (for next school year)	<input type="checkbox"/>
• Meet with school principals to collect information on use of funds to support Title I programs for the next funding application.	<input type="checkbox"/>
<b>April</b>	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Submit requests to amend grants, as needed.	<input type="checkbox"/>
• Consult with the local homeless liaison to determine number of homeless students and amount of reservation of Title I funds.	<input type="checkbox"/>
• Consult with eligible private schools and obtain affirmation of consultation with participating private school officials.	<input type="checkbox"/>
• Consult with local early childhood stakeholders (Exceptional Children, Pre-K, Head Start, etc.) to coordinate early childhood services (Title I Pre-K) as appropriate.	<input type="checkbox"/>
• Conduct other stakeholder consultations on the development of the LEA/school Title I plan. Stakeholders include parents/families, private schools, homeless education programs, migrant education programs, English learner programs, school leadership teams.	<input type="checkbox"/>
• Submit applicable data on GMAP (e.g., TAS, SIG, participating schools)	<input type="checkbox"/>
• Coordinate services with local neglected or delinquent facilities, if applicable.	<input type="checkbox"/>
<b>May-June-July</b>	
• Collect signed Time and Effort records for staff who work on multiple cost objectives.	<input type="checkbox"/>
• Submit requests to amend grants, as needed.	<input type="checkbox"/>
• Conduct program evaluation and develop a summary of the results.	<input type="checkbox"/>
• Conduct needs assessment based on findings of program evaluation.	<input type="checkbox"/>
• Determine roles and responsibilities of appropriate LEA representatives to determine comparability requirements.	<input type="checkbox"/>
• Meet with district financial staff to reconcile fiscal issues prior to the end-of-year closeout.	<input type="checkbox"/>



## Appendix B – Rubric to Assess the Quality of SWP

The following model was adapted from a rubric developed by the Iowa Department of Education to assess the quality of their schoolwide plans. The rubric suggests a “three star” system that highlights the desired qualities/behaviors observed in effective schoolwide programs.

Comprehensive Needs Assessment		
Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
Includes a variety of data gathered from multiple sources.	Includes data gathered from two sources.	Includes data gathered from less than two sources.
Examines student, teacher, school, and community strengths and needs.	Examines student strengths and needs.	Examines student deficits.
School Reform Strategies		
Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
Strategies increase the quality and quantity of instruction, using evidence-based methods and strategies.	Increased the quality and quantity of instruction.	Increases neither the quality nor quantity of instruction.
Evidence-based reform strategies are directly aligned with the findings of the needs assessment.	Reform strategies aligned with the findings of the needs assessment.	Reform strategies are not directly aligned with the comprehensive needs assessment findings and do not reference evidence-based models.
Provides a detailed, enriched, and accelerated curriculum for all students.	Provides an enriched and accelerated curriculum for select students with plans in place to move toward all students.	Provides a basic curriculum.
Addresses the needs of all children in the school, but particularly those who are low achieving, and meets the needs of students representing all major student populations participating in the schoolwide program.	Addresses the needs of all children in the school, but particularly the needs of students of target populations participating in the schoolwide program.	Addresses the needs of select students and there is no clear plan in place that addresses how the school will determine if identified needs are met.
Addresses specific strategies that assist teachers in determining if student needs are met.	Briefly addresses how the school will determine if these needs are met.	Teachers are directed to meet student needs without specific strategies or approaches.
High-Quality and Ongoing Professional Development		
Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
All staff is trained to meet individual needs of all students, but particularly the lowest achieving students of any program that is included in the schoolwide program.	Most staff receives training toward meeting the needs of only select groups of students.	Some staff receives fragmented training unrelated to identified school needs.
All staff receives ongoing and sustained professional development that is aligned with the goals of the school improvement plan.	Most staff receives ongoing and sustained professional development that is mostly aligned with the goals of the school improvement plan.	Few staff receive professional development; it addresses their individual training goals and is not necessarily aligned with the goals of the school improvement plan.
Strategies to Increase Parent and Family Engagement		
Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
Specific strategies to increase parent and family engagement, based upon results of the needs assessment have been identified and implemented.	Specific strategies to increase parent and family engagement have been identified and implemented.	Specific strategies to increase parent and family engagement have not been identified or implemented.

Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
Strong collaboration with community resources is evident.	Some collaboration with community resources is evident.	No collaboration with community resources is observed.
Parents are included as decision makers in a broad spectrum of school decisions.	Parents are included as decision makers in a limited number of school decisions.	Parents have no role in the decision making process of the school.
Collaboration is evident between the elementary school and preschool programs (i.e. state funded preschool, Head Start).	Collaboration efforts have begun between the elementary and preschool programs.	Collaboration and communication seldom occurs between the regular elementary school program and preschool programs.
Specific strategies for helping students' transition into the elementary setting have been identified and implemented.	Specific strategies for helping students' transition into the elementary setting are not included in the school improvement plan.	Specific strategies for helping students' transition into the elementary setting have not been identified or implemented.

### Teacher Participation in Making Assessment Decisions

Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
A team of teachers, administrators, and parents participate in the selection, use, and interpretation of school-based assessments.	Student performance is considered when modifying the school improvement plan.	Assessment decisions are made with little or no input from teaching staff.
Student performance drives modifications and improvements in the selection and use of school-based assessments.	Student performance is considered when modifying the plan; however, it does not always occur.	Student performance is not considered when making decisions about assessment.

### Timely and Additional Assistance to Students Having Difficulty Mastering the Standards

Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
The school has a well-defined process that is currently being implemented to identify students experiencing difficulty mastering the state's standards.	The school has a process in place to identify students experiencing difficulty mastering the state's standards.	No process is in place to identify students experiencing difficulty mastering the state's standards.
Timely, effective, and additional assistance is provided for students experiencing difficulty mastering the state's standards.	Effective, and additional assistance is provided for students experiencing difficulty meeting the state's standards.	Additional assistance is sometimes provided to some students who are experiencing difficulty, but the intervention is not regular and ongoing.
Thematic, integrated instruction, designed to accommodate the needs of various learning styles is provided.	Students receive some differentiated instruction while working with support staff.	All students are taught using the same methods.

### Coordination and Integration of Federal, State, and Local Programs and Resources

Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
The school has established its improvement plan based on need, and is knowledgeable about and uses all resources available to the school to meet its goals.	The school has established its improvement plan based on need, but plans to conduct a full inventory of its resources in order to carry out its goals.	The school has an improvement plan, but its goals are not always based on need, and there is uncertainty as to what the available resources are, and how they can be used to address the goals.

## Appendix C —Accountability for Results and Continuous Improvement

The schoolwide review team, along with the outside reviewer if one is being used, should present the results to staff in the school, parents and other community members. The evaluation will provide a roadmap for the future progress of the schoolwide program, so it is very important that the presentation and any accompanying materials be clear, understandable, and avoid the use of technical jargon. The presenters should be prepared to answer any questions posed by stakeholders.

The first cycle of continuous improvement is completed when the school uses the results of the review to more effectively implement its schoolwide program and to improve student achievement. Once the findings have been widely disseminated and input has been received, the schoolwide team identifies which recommendations will be incorporated into the existing school plan. Some suggested steps for carrying out this process follow:

- Review the strategies and action steps originally proposed in the schoolwide plan.
- Use the findings and recommendations to identify the parts of the schoolwide plan that have been implemented ineffectively or not at all.
- Solicit the input of all stakeholders in identifying more effective strategies to achieve identified goals.
- Identify any additional training that is needed to improve implementation.
- Determine if additional resources are needed to implement the revised improvement plan and, if so, how they will be obtained.
- Re-establish responsibilities and timelines for implementing the revised plan.
  - A 30-60-90 day plan is the recommended tool for organizing the responsibilities and timelines of a year-long comprehensive plan. A 30-60-90 day plan is a written outline of your strategy, broken down in 30 day increments. The 30-60-90 day model allows a team to break a plan down into manageable pieces. These plans also provide a level of accountability to projects by assigning tasks to individual group members.
- Communicate to all stakeholders what has been incorporated into the revised plan.
- Review the implementation review design that was used and make changes as appropriate to reflect plan modifications in preparation for the following year's evaluation.

The purpose of the annual review of the schoolwide program is to ensure that the program described in the schoolwide plan is implemented as designed and that its implementation has a positive effect on student achievement. Thus, the results of the annual review should not be perceived as a sign that the school should start over again with a new plan. Instead, the school should revise its existing plan to incorporate the revisions and reflect a revitalization of the school's commitment to implementing a schoolwide program that helps all students achieve at high levels.

For more information and resources related to continuous improvement, visit KDE's [Comprehensive Improvement Planning for Schools and Districts](#) webpage.

## Appendix D — Resources to Improve Parent and Family Engagement

1. [Appalachia Regional Comprehensive Center](#) Offering resources on ESSA for policymakers and practitioners.
2. [¡Colorín colorado!](#) A bilingual site featuring information, activities and advice for educators and families of English learners (WETA-TV)
3. [Family and Community Engagement](#) (ED)
4. [Dual Capacity-Building Framework for Family-School Partnerships](#) (ED)
5. [EDPubs](#) Order free U.S. Department of Education publications (ED)
6. [Global Family Research Project](#) Shaping 21<sup>st</sup>-century learning opportunities so that all children and youth thrive.
7. [National Center for Family and Community Connections with Schools](#) Supporting school, family, and community connections to increase school success. (American Institutes for Research)
8. [National Center for Family Learning](#) NCFL exists to create a culture of family engagement across the educational spectrum.
9. [The Education Trust](#) Fierce advocates for the high academic achievement of all students — particularly those of color or living in poverty.
10. [Prichard Committee for Academic Excellence](#) To provide a public voice advocating for continually improved education for all Kentuckians.
11. [The “What Works Clearinghouse” \(WWC\)](#) Providing educators with the information they need to make evidence-based decisions. (Institute of Education Sciences: National Center for Education Evaluation and Regional Assistance.
12. [Family Engagement: Resource Roundup](#) from [Edutopia.org](#) : A collection of tips, strategies and resources to help improve the connection from home to school and expand parent involvement.

## Appendix E — Effective District Parent and Family Engagement Policy Checklist

<b>Effective District Parent and Family Engagement Policy Checklist</b>	
<ul style="list-style-type: none"> <li>• The policy must be reviewed by the district to determine that it meets parent and family engagement requirements outlined in Section 1116(a)(2) of the Every Student Succeeds Act (ESSA).</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy must be reviewed by parents and revised as needed on an annual basis with documentation of the review on file in the Title I coordinator's office.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The district has documentation supporting its fulfillment of the requirements listed below.                             <ul style="list-style-type: none"> <li>○ Documentation could include agendas from parent meetings or trainings and comments from parents.</li> </ul> </li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The district's written policy must describe specifically how the district will complete the requirements listed below.</li> </ul>	<input type="checkbox"/>
<b>Involve parents in the joint development of the Title I plan and in the process of school review and improvement</b>	
<ul style="list-style-type: none"> <li>• The policy is developed jointly and agreed upon by parents of participating Title I students through meaningful consideration.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how parents of participating Title I students will be involved in deciding the ways in which parent and family engagement funds are used.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy is shared at the district board meeting as evidenced by the meeting minutes.</li> </ul>	<input type="checkbox"/>
<b>Provide the coordination, technical assistance, and other support necessary to assist participating schools in planning and implementing effective parent and family engagement activities to improve student academic achievement and school performance</b>	
<ul style="list-style-type: none"> <li>• The policy describes how the district enables parents to participate in school-related meetings, trainings and parent and family engagement activities by providing transportation and childcare when needed.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how the district offers meetings at a variety of times and locations to encourage parent and family engagement.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how parents are involved in the development of training for staff to improve the effectiveness of the training</li> </ul>	<input type="checkbox"/>
<b>Build the capabilities of schools and parents to ensure strong parent and family engagement</b>	
<ul style="list-style-type: none"> <li>• The policy establishes the expectations for parent and family engagement.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy explains how parents are informed about school meetings and events in a language they can understand.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how staff will be trained to reach out to, communicate and work with parents as equal partners in their children's education.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy explains how parents are assisted in understanding Kentucky's assessment and their child's performance.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy establishes how training and materials are provided to parents to help their children's achievement.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how the district will adopt and implement model approaches to improve parent and family engagement and provide support for involvement as requested by parents.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy explains how the district will coordinate and integrate Title I parent and family engagement strategies with those under other programs, such as Head Start, Parents as Teachers, Home Instruction Programs for Preschool Youngsters, and State-run preschool programs.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• (Optional) The policy explains how the district will establish a districtwide parent advisory council and involve community organizations and businesses in parent and family engagement activities.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy is distributed to parents.</li> </ul>	<input type="checkbox"/>
<b>Involve parents in an annual evaluation of the content and effectiveness of the parent and family engagement policy by assessing how much parent participation has increased and identifying barriers to parent participation which need to be addressed</b>	
<ul style="list-style-type: none"> <li>• The policy states how the district provides full opportunity for the participation of parents with limited English proficiency or with disabilities.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how findings from the annual evaluation are used to design strategies for school improvement and to revise the district parent and family engagement policy.</li> </ul>	<input type="checkbox"/>

## Appendix F — Effective School Parent and Family Engagement Policy Checklist

Effective School Parent and Family Engagement Policy Checklist	
<ul style="list-style-type: none"> <li>• The policy must be reviewed annually by the school to determine that it meets parent and family engagement requirements outlined in Section 1114(b)(2) of the Every Student Succeeds Act (ESSA).</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy must be reviewed by parents and revised as needed on an annual basis with documentation of the review on file in the Title I coordinator’s office and in the school.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The school’s written policy must describe specifically how the school will complete the requirements listed below.</li> </ul>	<input type="checkbox"/>
Hold an annual meeting to explain the Title I program to parents	
<ul style="list-style-type: none"> <li>• The policy states than an annual meeting will be held to inform parents of the school’s participation in the Title I program and to explain the requirements of the program and their right to be involved.</li> </ul>	<input type="checkbox"/>
Encourage parent and family engagement by offering a flexible number of meetings	
<ul style="list-style-type: none"> <li>• The policy states that parent meetings, including parent conferences, will be held at different times during the day.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy states that Title I funds may be used to pay reasonable and necessary expenses associated with parent and family engagement activities, including transportation, childcare, or home visit expenses to enable parents to participate in school-related meetings and training sessions.</li> </ul>	<input type="checkbox"/>
Involve parents in the planning, review, and improvement of the parent and family engagement programs	
<ul style="list-style-type: none"> <li>• The policy describes how parents will be involved in the printing, review, and improvement of the school’s Parent and Family Engagement Policy.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how parents will be involved in the planning, review, and improvement of the school’s Title I program.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how the school involves parents in the joint development of the Schoolwide Program Plan under ESSA Section 1114. <i>Applies only to Title I schools operating a Schoolwide Program.</i> <ul style="list-style-type: none"> <li>○ If the Schoolwide Program Plan is not satisfactory to the parents of children in the school, submit any parent comments on the plan when the school makes the plan available to the district.</li> </ul> </li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy states that the school will provide, if requested by parents, opportunities for regular meetings to formulate suggestions and to participate, as appropriate, in decisions relating to the education of their children, and respond to any such suggestions as soon as practicably possible.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy states that a school-family compact was jointly developed with parents and the compact outlines how parents, the entire school staff, and students will share in the responsibility for improved student achievement.</li> </ul>	<input type="checkbox"/>
Provide parents of participating Title I children	
<ul style="list-style-type: none"> <li>• The policy describes how the school will provide parents of participating children with timely information about the Title I program.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how the school will provide parents of participating children with a description and explanation of the curriculum in use at the school, the forms of academic assessment used to measure student progress, and the proficiency levels students are expected to meet.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how the school will provide assistance to parents in understanding the State’s academic content standards and student achievement standards, local academic assessments and how to monitor a child’s progress and work with teachers to improve the achievement of their children.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how the school provides materials and training to help parents work with their children to improve their children’s achievement, such as literacy training and using technology, as appropriate, to foster parent and family engagement.</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• The policy describes how the school provides additional opportunities for parents to offer suggestions and to participate in decisions relating to the education of their children.</li> </ul>	<input type="checkbox"/>

## Appendix G — Effective School-Family Compact Checklist

Compact Requirements described in the Every Student Succeeds Act (ESSA) Section 1116(d) and suggestions building an effective compact.

Responsibilities of the School	
<b>Explain district and school goals to meet student academic achievement standards.</b>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Align the actions of the compact with the goals of the CSIP.</li> <li>Create specific goals based on achievement data.</li> </ul>	
<b>Describe teachers’ responsibility for supporting student learning and providing high quality curriculum and instruction.</b>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Provide details on how teachers will help families understand what children are learning and doing in class.</li> <li>Be specific in how teachers will support parent participation at each grade level.</li> </ul>	
Responsibilities of the Family	
<b>Describe parents’ responsibility for supporting student learning.</b>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Provide connections for families related to what students are doing in class.</li> <li>Work with families in developing learning strategies and activities which can then be easily implemented at home on a regular basis.</li> <li>Maintain a dialogue with families by encouraging questions, suggestions, and feedback regarding the Title I program.</li> </ul>	
Responsibilities of the Student	
<b>Describe students’ responsibility for their learning.</b>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Provide real-life connections for students to what they are learning in class.</li> <li>Work with families to create specific, age-appropriate responsibilities for each grade level.</li> <li>Encourage students to share what they are learning in class with their families.</li> <li>Get input from students! Ask students how they want their teachers and families to support them.</li> </ul>	
School-Family Partnership	
<b>Describe opportunities to build partnerships with families (volunteer opportunities, observe classroom activities, and communicate with teachers).</b>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Provide families and teachers with opportunities to develop skills for working together (class meetings, demonstration lessons, literacy conversations, etc.).</li> <li>Base activities on identified family needs.</li> <li>Schedule meetings at accessible locations and at different days and times</li> </ul>	
Jointly Developed	
<b>Describe how families are involved in developing and revising the compact.</b>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Provide resources to help families to take part in the process (transportation, child care, etc.).</li> <li>Schedule meetings at accessible locations and at different days and times.</li> </ul>	
Communicating Student Progress	
<b>Describe multiple methods for regular teacher-family communication.</b>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Incorporate discussing responsibilities listed in the compact during parent-teacher conferences.</li> <li>Support families and students through follow-up steps.                             <ul style="list-style-type: none"> <li>Keep families up-to-date on student progress</li> <li>Provide families with tips on home learning</li> </ul> </li> <li>Consult with families and determine what methods of communication work best for them.</li> </ul>	
Language and Format	
<b>The compact should be written in a language that is family-friendly.</b>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Work with families to eliminate confusing terminology and ensure the compact clearly explains what should happen.</li> <li>Reach out to parents/staff with design skills to help create an attractive final product.</li> <li>Translate the compact (and other communications) into families’ first languages.</li> <li>Stakeholders are required to sign the compact.</li> </ul>	

## Appendix H – Suggested Timeline for Consultation with Private School Officials<sup>1</sup>

MONTH	DISTRICT ACTIVITY
<b>January</b>	<ul style="list-style-type: none"> <li>Contact private school officials to determine intent to participate and set up consultation calendar for upcoming school year.</li> </ul>
<b>March/April</b>	<p>Initial consultation meeting: <a href="#">34 C.F.R. 200.63</a></p> <ol style="list-style-type: none"> <li>Determine data source for counting eligible students (identifying pool of eligible students is private school responsibility). <a href="#">34 C.F.R. 200.78(a)(2)</a> <ul style="list-style-type: none"> <li>Same poverty measure used to count public school students, which is usually free and reduced-price lunch;</li> <li>Survey of private school parents asking for income data, address, and grade level of children from which the LEA must extrapolate these data;</li> <li>Alternative poverty data such as scholarships, Temporary Aid to Needy Families (TANF), Medicaid, etc. <b>OR</b></li> <li>Decide through consultation to use proportionality</li> </ul> </li> <li>Identify multiple, educationally related criteria for choosing students (LEA responsibility). <a href="#">34 C.F.R. 200.62(b)</a></li> <li>Discuss academic goals of eligible students, appropriate assessments.</li> <li>Solicit views on service delivery options, including "pooling" option.</li> <li>Discuss districtwide instructional set-asides and administrative costs.</li> <li>Determine services for parents and teachers of participating students.</li> <li>Inform private school officials of their right to file a complaint to state education agency if they feel their views are not adequately considered.</li> <li>Collect signed <a href="#">affirmation</a> from private school officials.</li> </ol>
<b>May/June</b>	<ul style="list-style-type: none"> <li>Determine equitable services amount based on number of eligible students and per-pupil allocations. <a href="#">34 C.F.R. 200.64</a></li> <li>Identify students to participate.</li> <li>Districts must provide opportunities for consultation with private school officials if program is modified or private school officials request continued discussions.</li> </ul>
<b>August</b>	<ul style="list-style-type: none"> <li>Establish service start date (same as public school start date).</li> <li>Finalize roster of participating students.</li> </ul>
<b>September</b>	<ul style="list-style-type: none"> <li>Make needed changes to student roster.</li> <li>Begin services with current fiscal year funds.</li> </ul>
<b>October-June</b>	<ul style="list-style-type: none"> <li>Regular visits by LEA supervisor to Title I classrooms and regular communications with private school teachers and officials about student progress and program compliance.</li> <li>Assess student progress and evaluate program effectiveness. Determine criteria for making program modifications when annual progress is not achieved.</li> <li>Conduct professional development and parent and family engagement activities. <a href="#">34 C.F.R. 200.65</a></li> </ul>

<sup>1</sup> This is not an official U.S. Department of Education document. It is provided only as an example.



## Appendix I – Guidance for Districts on Title I, Part A Set-Asides

Set-asides are funds that are reserved at the district level. In some cases, districts are required to reserve funds for certain activities under Title I, Part A; in other cases, reservations are discretionary. The purpose of this document is to provide guidance on acceptable uses of district set-asides and, conversely, on situations when the Kentucky Department of Education (KDE) will not allow set-asides and will instead require funds to be allocated to schools.

Several sources were used to guide the creation of this document:

- Applicable statute and regulations at the state and federal levels;
- KDE staff;
- The Title I Committee of Practitioners;
- Staff from other State Education Agencies;
- Relevant guidance documents from other states; and,
- Title I applications in GMAP (Grants Management Application & Planning System), the online application system.

### Need for Guidance on District Set-Asides

KDE is required to provide oversight of Title I, Part A programs. Responsibilities include reviewing and approving applications ([ESSA 1112\(a\)\(3\)\(B\)](#)) and providing technical assistance ([ESSA 1111\(c\)](#)), among other requirements. This guidance is intended to provide technical assistance for schools and districts to use funds effectively and in accordance with the purpose and intent of Title I.

Currently, some Kentucky school districts are reserving large percentages of their Title I allocations at the district level. This practice could have several intended and unintended effects, including:

- Decreasing the amount of funds schools receive;
- Decreasing school and School-Based Decision Making council (SBDM) opportunity to effectively implement a schoolwide program, including use and control of funds necessary for this work;
- Districtwide activities may not accurately address individual schools' needs assessments; and/or,
- If the district set-aside is subsequently redistributed to schools, federal rank and serve rules could be violated.

### Required Reservations

Before distributing funds to Title I schools, two set-asides are automatically calculated and deducted from district allocations in GMAP. An automatic set-aside is calculated for services to private school students if the district serves private schools. And, if the district's allocation is greater than \$500,000, an automatic set-aside is calculated and reserved for parent and family engagement activities. Districts also must reserve funds "off the top" of the Title I allocation when serving homeless students and when serving students at locally operated neglected institutions. It is important to note that district set-asides must be used only at Title I schools, except in these instances:

- Homeless: Districts must set aside a reasonable and necessary amount to provide services for homeless children. These funds can be used to provide services to students who attend Title I and non-Title I schools.
- McKinney-Vento. Districts receiving competitive McKinney-Vento grants are required to reserve an amount from Title I, Part A to supplement services provided to homeless students.

- Locally Operated Neglected Institutions: Districts with locally operated neglected institutions must reserve a reasonable and necessary amount to provide supplemental services to children in these institutions.

Appendix A provides a list of categories that appear on the District Set-Asides page in GMAP. Apart from the Homeless and Neglected categories, the set-aside categories in Appendix A are optional for districts. For details about all set-aside categories, visit the “Help for Current Page” tab on the “District Set-Asides” page in GMAP.

## **Guidance on Reserving Funds**

Districts need to be mindful when taking optional set-asides, whether these funds will be used primarily by central office, used to fund a districtwide activity, or for some other purpose.

Although it may be convenient to make purchases and hire personnel for Title I schools from the district level, convenience should not take precedence over other significant concerns. Some important considerations when reserving funds in these categories have to do with 1) the intent of Title I to be a school-based program; 2) school-based decision making council requirements; rank-and-serve requirements; and 4) whether the district set-aside is reasonable, allocable, necessary and documented.

### **Title I as a school-based program:**

Title I is designed to be a school-based program, meaning that the program (whether schoolwide or targeted assistance) is administered and implemented at the school level. Educators in Kentucky schools engage in several school improvement activities, including:

- School staff consult with stakeholders to conduct a needs assessment at the school, which involves analyzing data, determining and prioritizing needs;
- School staff use the results of the needs assessment to determine goals and the strategies that will help the school reach the goals;
- School leaders oversee the implementation of the strategies and monitor progress of the implementation; and,
- School staff determine whether goals were met and evaluate the success of the strategies. The school staff are immersed in the daily work at the school and are in the best position to assess needs, determine priorities and goals, and fund those strategies that will have the greatest impact on improving student achievement. To implement this school improvement work effectively schools must receive sufficient funding. Since reserving funds at the district level decreases the amount of funds available to be allocated to schools, districts should be sure optional set-asides are reasonable and necessary.

Districts are required to develop their plans in their Title I applications—including any district set-asides—with timely and meaningful consultation with teachers, principals, other school leaders, paraprofessionals, specialized instructional support personnel, administrators (including administrators of Title I Parts C and D programs), other appropriate school personnel, and with parents of children in schools served under Title I, Part A ([ESSA Section 1112 \(a\)\(1\)\(A\)](#)).

### **School-Based Decision-Making (SBDM) Council Authority:**

The placement of the Title I program at the school level aligns well with the role of the SBDM as the governing body of the school. School councils were established as part of the Kentucky Education Reform Act in 1990. School councils promote shared leadership among those who are close to the students. Voting membership of each council includes parents, teachers, and an administrator of the school. The council has the responsibility to set school policy and make decisions outlined in statute, which should provide an environment to enhance student achievement.

Sometimes school districts reserve Title I funds at the district level to hire staff, which can be an allowable set-aside. For example, funds may be set aside to pay the salary of staff to partially oversee parent and family engagement activities in the district or provide services for EL students and families. Title I funds could be used to pay the salary of the Title I coordinator (or part of the FTE) and/or finance clerk or secretary to perform Title I processing. Hiring staff at the district level becomes more complicated when funds are set aside to hire personnel (such as instructional coaches) who provide services to schools. If the district assigns the staff member to a specific Title I school, it becomes unclear whether the consultation process for personnel decisions described in [KRS 160.345\(2\)\(h\)](#) has been followed. To help ensure compliance with state law of all GMAP applications received, KDE will not approve funds set aside at the district level to hire full-time staff for individual Title I schools. Instead, those funds will need to be allocated to the schools following the rank and serve rules as well as [KRS 160.345\(2\)\(h\)](#).

There may be cases in which the district could hire staff to work with Title I schools, however. If the district hires personnel (e.g., instructional coaches) all the positions would have to be itinerant, with their time split between schools. None of the personnel may be assigned to a specific Title I school. Additionally, the district should make sure that the staff will be meeting needs identified on the schools' needs assessments. Also, the use of funds for personnel must not break rank and serve rules.

School councils have the authority to determine which textbooks, instructional materials, and student support services will be provided in each school. ([KRS 160.345\(2\)\(g\)](#)) Further, the SBDM council must adopt a policy on the determination of curriculum, including needs assessment and curriculum development ([KRS 160.345\(2\)\(i\)](#)). If a district reserves funds to pay for the costs of textbooks, instructional materials, and student support services for the school, the level of SBDM council involvement in the decision making becomes uncertain. To help ensure compliance with state law of all GMAP applications received, KDE will require most purchases of instructional resources with Title I funds, including computer software, to be made at the school rather than the district level. Therefore, in general, funds should not be set aside at the district level for instructional resources and software and, instead, should be allocated to the schools.

School councils must consult with the school media librarian about the purchase of instructional materials, information technology, and equipment ([KRS 160.345\(2\)\(g\)](#)). Purchases of technology hardware will generally need to be made at the school level in order to ensure SBDM processes are protected and state law is not violated. KDE may still approve a technology purchase at the district level after considering evidence that:

1. The technology and the amount of funds are reasonable, allowable, necessary and documented;
2. SBDM minutes document that consultation occurred with the school media librarian, a demonstrated need for the technology, and the approval of the amount of funds designated for this purpose by the SBDM; and,
3. The distribution of the technology hardware to Title I school(s) does not break rank and serve requirements.

### **Federal rank-and-serve requirements:**

In general, rank and serve rules ensure that schools with higher rates of students from poverty are prioritized for Title I funding over schools with lower rates of students from poverty. Districts must serve all schools with 75% or higher low-income in rank order of poverty. The district may then continue serving with either Grade Span Ranking or overall District Ranking with any remaining Title I funds ([ESSA Section 1113](#)).

Rank and serve rules could be broken if districts reserve funds to pay for goods or services and then distribute the goods and services to Title I schools. The addition of the cost of the good or service will increase the total allocation of the recipient school. If the recipient school has a lower poverty rate and the cost of the additional good or service raises its total allocation above that of a Title I school with a higher poverty rate, rank and serve rules are broken.

If KDE staff determine that a particular district set-aside will break rank and serve rules, the district will be required to allocate the set-aside in accordance with [ESSA Section 1113](#).

**Reasonable, Allocable, Necessary, Documented** ([C.F.R. § 200.403](#), [C.F.R. §200.404](#), [C.F.R. §200.405](#)):

Approval of a Title I application signifies the activities and budgeted amounts meet federal and KDE requirements and the district may begin to implement the activities in the approved application. KDE cannot approve funds for activities that are not defined or are vague. This is one reason why narratives are required in GMAP to explain the purpose of the funds and identify the school(s) that will be using the funds. Furthermore, funds may never be reserved in any category as “rainy day funds” to use later as needed. All funds must be budgeted for clear, defined purposes that KDE approves. In addition, like all proposed expenditures, optional district set-asides must be—

- **Reasonable:** The proposed goods and services are not excessive in cost and are based on prudent and sound purchasing practices.
- **Necessary:** The goods and services are essential for carrying out the Title I, Part A program. The need for the goods and services is supported in the needs assessment and CDIP/CSIP.
- **Allocable:** The goods and services are specifically for the benefit of Title I schools and meet the program’s intent to provide children significant opportunity to receive a fair, equitable, and high-quality education and to close educational achievement gaps.
- **Documented:** The district must be able to readily document the reasonableness, necessity and allocability of the set-aside through an established allowability procedure, needs assessment, standard purchasing processes, or district policy.

### **KDE Expectations for District Set-Asides**

Below is a summary of the general expectations outlined in this guidance document. This is not an all-inclusive list but addresses some of the main areas to remember—

- Be sure that stakeholders have input on the Title I plan and proposed use of the Title I funds including the set-aside ([ESSA Section 1112\(a\)\(1\)\(A\)](#)).
- Most of the funds need to be allocated to schools.
- Only Title I schools may be served with the district set-aside except for homeless students and students in neglected institutions (if there is an institution in the district).
- Most technology hardware purchases should be made at the school rather than the district level. If technology hardware is being purchased at the district level, please be prepared to supply to KDE, upon request, a copy of SBDM minutes from each school showing the hardware purchase and the amount of funds were approved by the council.
- Most purchases of materials and resources, including software, should be made at the school level. If purchased at the district level for distribution to schools, please be prepared to supply to KDE, upon request, a copy of SBDM minutes from each school showing the purchase and the amount of funds were approved by the council.
- Personnel should be hired at the school level unless staff hired at the district level will be serving more than one Title I school and will not be assigned to a particular school. The district should ensure that district-wide staff meet the needs identified on the schools’ needs assessments.
- Funds may not be reserved in any category for purposes of “rainy day funds” to use later as needed. All funds must be budgeted for clear, defined purposes that KDE approves.

Consider these guiding questions when reserving funds at the district level:

- What is the percentage of the total allocation being reserved at the district level? Is the percentage a reasonable amount?
- Which schools and staff will receive the goods and services or participate in the activity being paid for with the reserved funds?
- Has the district clearly explained why the funds are being reserved at the district level rather than being allocated to the schools? Does the explanation provide sufficient detail? Is the reason legitimate and justified, or could the funds be used for the same purpose if they were allocated to the schools?
- Will reserving funds at the district level interfere with rank and serve requirements? If the answer to this question is yes, the funds must be allocated to the schools rather than set aside at the district level.
- Could reserving funds for the activity violate state law (e.g., KRS 160.345 relating to the interference with SBDM requirements)? If the answer is yes, the funds must be allocated to the schools or, alternatively, allocated at the district level in a way that does not violate state law.
- Are the proposed services/materials/staff identified as a need on the needs assessments of the recipient schools?
- Did the district consult with stakeholders about this set-aside? If so, what was the process and who gave feedback? What documentation supports this?

If KDE staff have a question about a district set-aside, they may ask for additional supporting evidence and documentation. This could include:

- A copy of the SBDM minutes from the school(s) showing that the SBDM councils approved the purchase (e.g., technology, instructional materials, etc.) and the amount being spent
- Evidence of the required stakeholder input on the Title I plan and district-set-asides
- A detailed budget to further break down the set-aside. For example, if the district sets aside a large amount for Professional Development, KDE staff may ask the district to submit the breakdown, including a narrative and MUNIS codes with specific amounts of funds.

Based on answers to the guiding questions and evidence (such as budgets and school needs assessments), KDE will make a determination about the set-aside. If the set-aside is disallowed, KDE will require the district to re-allocate all or part of the funds before the application will be approved.

## **Conclusion**

In this day and time of increased accountability, agencies and organizations that serve the public are held to high standards. This document provides guidance on Title I district set-asides that is intended to help districts increase transparency and comply fully with state and federal requirements. Should you have any questions about this guidance, please call the Division of School and Program Improvement at the Kentucky Department of Education by telephone at (502) 564-3791.

## District Set-Aside Categories in GMAP

- Foster Care
- Homeless
- McKinney-Vento
- Locally Operated Neglected Institutions
- Locally Operated Delinquent Institutions
- Parent and Family Engagement
- Professional Development
- School Extension Programs(s)
- Preschool Program(s)
- English Language Learners
- Assessments
- Administrative Costs
- Substitute Salaries
- Sick Pay for Retiring Title I Funded Staff
- Variations in Personnel Costs
- Other District Set-Asides

# GLOSSARY OF TERMS AND ACRONYMS

**125% Rule** — A school or school attendance area whose student population is below 35% poverty may still be eligible for Title I funds. If using this rule, the district divides its total allocation per low-income child by the number of low-income children in the district. Then multiply this per-child amount by 125%. When applying this rule, the district completes this calculation *before* reserving any funds.

**35% Rule** — A school or school attendance area whose student population is at least 35% poverty is eligible for Title I funds. School attendance areas must be served in rank-order.

**75% Rule** — A school or school attendance area whose student population is at or above 75% poverty must be served in rank-order first when building eligibility of per-child amount allocations.

**Community Eligibility Provision (CEP)** — Section 104(a) of the Healthy, Hunger Free Kids Act of 2010 amended the National School Lunch Act to provide an alternative to household eligibility applications for free and reduced price meals in high poverty districts and schools. This alternative is referred to as the Community Eligibility Provision (CEP). The overall purpose of the CEP is to improve access to nutritious meals for students in high poverty areas by providing meals to all students “at no cost” to the students. Visit KDE’s [Title I, Part A and Community Eligibility Provision](#) webpage to learn more.

**Comprehensive Improvement Planning** – School/district improvement efforts focus on student needs through a collaborative process involving all stakeholders to establish and address priority needs, district funding, and closing achievement gaps between identified subgroups of students. To learn more and view tools for building an effective Comprehensive School Improvement Plan (CSIP) and Comprehensive District Improvement Plan (CDIP), visit KDE’s [Comprehensive Improvement Planning for Schools and Districts](#) webpage.

**Digital learning** - "Digital learning" is defined by ESSA as: "Any instructional practice that effectively uses technology to strengthen a student's learning experience and encompasses a wide spectrum of tools and practices, including blended learning, which occurs under direct instructor supervision at a school or other location away from home and, at least in part, through online delivery of instruction with some element of student control over time, place, path, or pace, [as well as] access to online course opportunities for students in rural or remote areas." [20 USC 7112](#) (3).

**Distance Learning** - "Distance learning" is generally understood to refer to situations in which the student learns remotely -- that is, the student and instructor are in different locations. It may incorporate both online and offline options, such as instruction via conventional phone calls or dropping off assignments at a student's home and then following up with a phone call. Or it may consist solely of low-tech options.

**Elementary and Secondary Education Act (ESEA)** – ESEA, which was first enacted in 1965, is the principal federal law affecting K-12 education. *The Every Student Succeeds Act* is the most recent reauthorization of the ESEA.

**English Learner (EL)** – the term English Learner, when used with respect to an individual, means an individual:

- who is aged 3 through 21;
- who is enrolled or preparing to enroll in an elementary school or secondary school;
- who was not born in the United States or whose native language is a language other than English;
  - who is a Native American or Alaska Native, or a native resident of the outlying areas; AND
  - who comes from an environment where a language other than English has had a significant impact on the individual's level of English language proficiency; or
  - who is migratory, whose native language is a language other than English, and who comes from an environment where a language other than English is dominant; AND
- Whose difficulties in speaking, reading, writing, or understanding the English language may be sufficient to deny the individual
  - the ability to meet the state's proficient level of achievement on State assessments;
  - the ability to successfully achieve in classrooms where the language of instruction is English; or
  - the opportunity to participate fully in society.

The term English Learner replaced the terms *Limited English Proficient (LEP)* and *English Language Learner (ELL)*. LEP is sometimes still used to describe parents with limited English proficiency. Visit KDE's [Title III English Learner and Immigrant Students](#) webpage for additional information and resources.

**Evidence-Based** – as defined by ESSA, “evidence-based” refers to an activity, strategy, or intervention that:

- Demonstrates a statistically significant effect on improving student outcomes or other relevant outcomes based on: 1) strong evidence from at least one well-designed and well-implemented experimental study; 2) moderate evidence from at least one well-implemented and quasi-experimental study; or 3) promising evidence from at least one well-designed and well-implemented correlational study with statistical controls for selection bias.
- Demonstrates a rationale based on high-quality research findings or positive evaluation that such activity, strategy, or intervention is likely to improve student outcomes or other relevant outcomes.
- Includes ongoing efforts to examine the effects of such activity, strategy, or intervention.

For more information on evidence-based practices, visit KDE's [Evidence-based Practices](#) webpage.

**Family Literacy Services** – services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

- Interactive literacy activities between parents and their children.
- Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children.
- Parent literacy training that leads to economic self-sufficiency.
- An age-appropriate education to prepare children for success in school and life experiences.

**Fiscal Year (FY)** – the period of time between July 1 and June 30 of any given year.

**Grade Span** – When an LEA opts to serve schools below 75% poverty, the LEA may choose to serve particular grade spans (such as K-5 or K-8) as long as the grade span is served in rank order.

**Grant Management and Application Planning (GMAP)** – the system used by Kentucky districts to maximize the use of their grant dollars from federal non-competitive programs. GMAP allows districts to apply for and manage grant applications. GMAP also provides monitoring, approval, and reporting functionality for KDE staff.

**High Poverty School** – school in the top quartile of poverty (75% or above).

**Hold Harmless** - Hold harmless provisions guarantee each district eligible for Title I funds a certain percentage of the amount received in the previous year: 95 percent of the prior year's funding in districts where Title I-eligible children make up at least 30 percent of enrollment, 90 percent if they are between 15 and 30 percent, and 85 percent for lower-poverty districts.

**Limited English Proficient (LEP)** – the term Limited English Proficient, when used with respect to an individual, means an individual:

- Who is aged 3 through 21; who is enrolled or preparing to enroll in an elementary school or secondary school; who was not born in the United States or whose native language is a language other than English; who is a Native American or Alaska Native, or a native resident of the outlying areas; AND
- Who comes from an environment where a language other than English has had a significant impact on the individual's level of English language proficiency; or who is migratory, whose native language is a language other than English, and who comes from an environment where a language other than English is dominant; AND
- Whose difficulties in speaking, reading, writing, or understanding the English language may be sufficient to deny the individual the ability to meet the state's proficient level of achievement on State assessments; the ability to successfully achieve in classrooms where the language of instruction is English; or the opportunity to participate fully in society.

**Local Education Agency (LEA)** – a public board of education or other public authority legally constituted within a state for either administrative control or direction of, or to perform a service function for, public elementary schools or



secondary schools in a city, county, township, school district, or other political subdivision of a state, or of/for a combination of school districts or counties that is recognized in a state as an administrative agency for its public elementary schools or secondary schools. In short, an LEA is the term used for a school district.

**Needs Assessment** – (also referred to as a **comprehensive needs assessment**) the epicenter of the improvement plan from which all else revolves. The needs assessment should include rationale of why particular measures are chosen and provide a basis for the strategies and activities that will yield results. This document provides evidence (data, diagnostics, etc.) of the current state of the school/district as well as the determination of the desired state, and the ultimate improvement goals of the school/district. Purchases made with Title I, Part A funds should relate directly to the needs assessment. The [Needs Assessment Template](#) provides additional details on the document.

**Non-Public (NP)** – non-public schools include both private schools and homeschools. More information and resources can be found on KDE’s [Non-Public Schools](#) webpage.

**Paraeducator** – (also referred to as a **paraprofessional**) a classified employee, under the direct supervision of a teacher. The paraeducator may be assigned to:

- Provide one-on-one tutoring for eligible students, if the tutoring is scheduled at a time when a student would not otherwise receive instruction from a teacher
- Assist with classroom management, such as organizing instructional and other materials
- Provide assistance in a computer laboratory
- Conduct parent and family engagement activities
- Provide support in a library or media center
- Act as a translator

**Parent and Family Engagement** – the participation of parents in regular, two-way, and meaningful communication involving student academic learning and other school activities that includes ensuring:

- Parents play an integral role in assisting their child's learning;
- Parents are encouraged to be actively involved in their child's education at school;
- Parents are full partners in their child's education and are included, as appropriate, in decision-making and on advisory committees to assist in the education of their child;
- The carrying out of other parent engagement activities.

**Per Pupil Amount (PPA)** – the PPA determines the amount of funds generated by a school based on the number of low-income children. According to USED’s [non-regulatory guidance on the allocation of Title I funds](#), “In determining what per-child amount to allocate, the LEA should bear in mind the purpose of such funding – to enable children who are most at risk of not meeting the state’s challenging student academic achievement standards. The per-child allocation amount must be large enough to provide a reasonable assurance that a school can operate a Title I program of sufficient quality to achieve that purpose.

**Professional Development (PD)** – ESSA 8101(42) defines professional development as activities that are an integral part of school and LEA strategies for providing educators (including teachers, principals, other school leaders, specialized instructional support personnel, paraprofessionals, and, as applicable, early childhood educators) with the knowledge and skills necessary to enable students to succeed in a well-rounded education and to meet the challenging state academic standards. Professional development is integral to a school strategy, part of a sustained program or continuum of service, and not as “stand-alone, 1-day, or short-term workshops.” Professional Development includes, but is not limited to, activities that:

- Improve and increase teachers’ knowledge of academic subjects.
- Are an integral part of broad school-wide and district-wide educational improvement plans;
- Give teachers and principals the knowledge and skills to help students meet challenging State academic standards;
- Improve classroom management skills;
- Are sustained, intensive, and classroom-focused and are not one-day or short-term workshops;
- Advance teacher understanding of effective instruction strategies that are based on scientifically based research; and
- Are developed with extensive participation of teachers, principals, parents, and administrators.

**School Attendance Area** – the geographic area in which the children who are normally served by that school reside.

**State Educational Agency (SEA)** – the agency primarily responsible for the State supervision of public elementary schools and secondary schools (i.e., [Kentucky Department of Education](#)).

**Title I, Part A** – Title I, Part A provides assistance to improve the teaching and learning of children in high-poverty schools to enable those children to meet challenging State academic content and performance standards.

**Well-Rounded Education** – ESSA 8101(52) defines well-rounded education as courses, activities, and programming in subjects such as English, reading or language arts, writing, science, technology, engineering, mathematics, foreign languages, civics and government, economics, arts, history, geography, computer science, music, career and technical education, health, physical education, and any other subject, as determined by the SEA or LEA, with the purpose of providing all students access to an enriched curriculum and educational experience.