



TITLE IV

SAMPLE MONITORING

DOCUMENTATION

SSAE01 – SSAE06

2021-2022

Sample Monitoring Documentation for Title IV Programs

Nationally, Title programs receive a significant amount of funds from the federal government. The Office of Educational Improvement & Support is required by law to monitor local Title I and Title IV programs to ensure compliance with procedures and regulations. The U.S. Department of Education (USED) is clearly enforcing this regulation. It is the responsibility of the state to ensure that states, districts, and schools are held accountable in regard to Title programs and *Every Student Succeeds Act* regulations.

The purpose of this document is to provide assistance to districts and schools as they complete the Federal Title Programs monitoring process. This document walks through each requirement outlining details on the requirement itself, the documentation necessary, special alerts to take into consideration, and additional resources available. Below is a summary of each category.

“Requirements” Section

This section outlines the specific requirements mandated by the federal and state law. This section provides an explanation of the requirements to assist schools in understanding the requirement’s rationale.

“Documentation” Section

This section explains the type of documentation that is necessary to adequately meet the monitoring requirement.

“Alerts” Section

This section offers relevant information relating to the requirement. This section may simply indicate that the requirement relates to other federal programs or outlines common issues we find regarding the submission or documentation.

“Resources” Section

This section outlines current resources available on the particular requirement.

Submission SSAE01 – Title IV Program Annual Evaluation

Requirement

The primary purpose of Title IV, Part A Student Support and Academic Enrichment (SSAE) grant is to improve students' academic achievement by increasing the capacity of states, districts, schools, and local communities to provide all students with access to well-rounded education, improve school conditions for student learning, and improve the use of technology in order to improve the academic achievement and digital literacy of all students.

Title IV law requires district's to annually provide descriptions of Title IV funded activities in the Consolidated Application for all Federal Title funds. ESEA § 4106 requires the district to conduct an annual evaluation of its Title IV program to plan for the upcoming school year, including providing program objectives and intended outcomes and to which degree the district has met those outcomes.

Documentation

Submit all data supporting your annual review of Title IV programs/activities. Include all agendas, meeting minutes, parent/partner communication, etc. The following are forms of documentation you may submit:

- Summary Chart of activity/program and evaluation results
- Description of how the activities funded under this program were identified as the districts priorities.
- Title IV activities or program evaluation results.
- Summary chart of activities and outcomes (expanded version aligned with Title IV Part A budgeted activities).
- How the results will be used to make decisions about appropriate changes in the program for the subsequent year.

Alerts

If this is the district's first year receiving Title IV program funds, in preparation for this requirement, please design and submit an agenda/meeting structure where the Title IV program will be evaluated. Information on the agenda may include:

- Description of how the activities funded under this program were identified as the districts priorities.
- Title IV evaluation results.
- How the results will be used to make decisions about appropriate changes in the program for the subsequent year.

Resources

This information requested should be an expansion of the information provided in the consolidated application Title IV Part A budget and aligned with the Title IV activities outlined within.

Submission SSAE02 – Title IV Program Implementation

Requirement

The primary purpose of Title IV, Part A Student Support and Academic Enrichment (SSAE) grant is to improve students' academic achievement by increasing the capacity of states, districts, schools, and local communities to provide all students with access to well-rounded education, improve school conditions for student learning, and improve the use of technology in order to improve the academic achievement and digital literacy of all students.

Title IV law requires district's to annually provide descriptions of Title IV funded activities in the Consolidated Application for Federal Title funds. Title IV program objectives and intended outcomes aligned with approved activity must be identified. ESEA § 4106(e)(1) requires the district to periodically evaluate the effectiveness of its program activities based on these objectives and outcomes.

Documentation

Evidence the district prioritized needs and the distribution of funds for evidence-based programs/activities following Title IV requirements assuring the supplement vs supplant requirement. Goals and outcomes are identified and monitored for effectiveness. This documentation could include:

- narrative addressing all requirements (5) listed below
- meeting minutes/board meetings
- summary chart of goal, activities, and outcomes (expanded version aligned with Title IV Part A budgeted activities of the consolidated application) and Cognia Strategy Map alignment
- timeline of activities

Evidence addressing each of the following requirements must be provided: 1) how the districts needs were determined, 2) how funding was prioritized based on the required criteria, 3) identified goals and outcomes and Title IV area they align, 4) identify the evidence-based information on identified activities, and 5) evidence of monitoring goals for effectiveness.

Alerts

Districts must maintain documentation regarding the progress made toward Title IV outcomes and activities.

Resources

This information requested should be an outcome of the needs assessment, identified in needs and trends and an expansion of the information provided in the consolidated application Title IV Part A budget section and aligned with the Title IV activities outlined within. Cognia strategy map and Insights has significant data for easy access.

[Selecting Evidence-Based Programs and Practices for Title IV, Part A Activities](#)

[Braiding Funds to Enhance Title IV-A Program Efficiency and Outcomes](#)

[Title IV – A Implementation Planning Tool](#)

[Title IV- A Evaluation Tool](#)

Submission SSAE03 – Title IV District Internet Safety Policy

Requirement

ESEA §4121 requires No funds made available under this part to a local educational agency for an elementary school or secondary school that does not receive services at discount rates under section 254(h)(5) of the Communications Act of 1934 (47 U.S.C. 254(h)(5)) may be used to purchase computers used to access the Internet, or to pay for direct costs associated with accessing the Internet, for such school unless the school, school board, local educational agency, or other authority with responsibility for administration of such school both

(1)(A) has in place a policy of Internet safety for minors that includes the operation of a technology protection measure with respect to any of its computers with Internet access that protects against access through such computers to visual depictions that are obscene and harmful to minors and is enforcing the operation of this policy.

Documentation

- District Internet Safety Policy

Resources

[ESEA](#)

[Title IV FAQs](#)

[Title IV Program Requirements](#)

Submission SSAE04 – Title IV Informed Consent

Requirement

It is important to note that a LEA receiving funds under the SSAE program, generally must obtain prior written, informed consent from the parent of each child who is under 18 years of age to participate in any mental-health assessment or service that is funded with SSAE program funds. Prior written, informed consent means active consent; silent (passive) consent does not constitute prior written, informed consent is therefore not sufficient. Section 4001 of the ESEA describes in detail the contents of such consent, as well as limitations and exceptions to when prior, written informed consent is required.

The district must demonstrate obtained prior written consent from the parent of each child who is under 18. The informed consent must include a:

- detailed description of the mental health assessment or service including the purpose of the assessment or service,
- the provider of the assessment or service,
- when the assessment or service will begin, and
- how long the assessment or service will last.

Documentation

- Template(s) for written consent

Alerts

Silent (passive) consent does not constitute prior written, informed consent and is therefore not sufficient.
ESEA 4001

(2) EXCEPTION.—Notwithstanding paragraph (1)(A), the written, informed consent described in such paragraph shall not be required in—

(A) an emergency, where it is necessary to protect the immediate health and safety of the child, other children, or entity personnel; or

(B) other instances in which an entity actively seeks parental consent but such consent cannot be reasonably obtained, as determined by the State or local educational agency, including in the case of—

(i) a child whose parent has not responded to the notice described in paragraph (1)(B); or

(ii) a child who has attained 14 years of age and is an unaccompanied youth, as defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a).

(b) PROHIBITED USE OF FUNDS.—No funds under this title may be used for medical services or drug treatment or rehabilitation, except for integrated student supports, specialized instructional support services, or referral to treatment for impacted students, which may include students who are victims of, or witnesses to, crime or who illegally use drugs.

(c) PROHIBITION ON MANDATORY MEDICATION.—No child shall be required to obtain a prescription for a controlled substance, as defined in section 102 of the Controlled Substances Act (21 U.S.C. 802) as a condition of—

(1) receiving an evaluation or other service described under this title; or

(2) attending a school receiving assistance under this title.

Resources

[ESEA](#)

[Title IV FAQs](#)

[Title IV Program Requirements](#)

Submission SSAE05 – Title IV Comprehensive Needs Assessment

(Note: a requirement for districts receiving \$30,000 or more in Title IV or Transfer Title IV)

Requirement

ESEA §4106 (e)(2)(A) requires that districts receiving Title IV allocations over \$30,000 conduct a needs assessment (within the last three years). This needs assessment must be comprehensive and provide documentation it examined:

- Access to, and opportunities for, a well-rounded education for all student
- School conditions for student learning in order to create a healthy and safe school environment
- Access to personalized learning experiences supported by technology and professional development for the effective use of data and technology

This assessment **must** be the basis for all Title IV funding decisions. Thus, there must be evidence provided of the links between the identified need (based on data) and the allocation of funds. **Furthermore, federal law requires designing activities with measurable objectives so that progress can be objectively measured.**

Districts are required to consult other stakeholders, such as parents, teachers, administrators, and other community members, during and throughout the grant implementation process.

If the district has an existing comprehensive needs assessment process, which includes stakeholder involvement, and data elements relevant to the areas of allowable uses of Title IV funds (well-rounded, safe and healthy students, educational technology), then it is sufficient to leverage this existing process to satisfy the Title IV program requirement. However, if existing needs assessment processes do not address the content areas included in Title IV, then a separate comprehensive needs assessment should be conducted to ensure relevant needs are identified for use of funds.

Documentation

Please provide evidence of a comprehensive needs assessment. A Comprehensive Needs Assessment Tool is provided in the resources below for districts to use if desired. The documentation could include meeting agendas, meeting minutes, survey results, data reviewed, and results or key findings. Districts may have their own needs assessment tool or process and are not required to use the provided tool.

- Need Assessment Tool for download and district use can be found [here](#).
- Webinar about how to use the Need Assessment Tool can be found [here](#).
- View the Need Assessment Tool webinar slides can be found [here](#).

This information requested should an expansion of the information provided in the consolidated application Title IV Part A budget section and aligned with the Title IV activities outlined within.

Alerts

Districts should maintain up-to-date records that contain the results of their Title IV needs assessment. **This information is necessary for review during a site monitoring visit/process.**

It is VERY important that districts document the data results and evidence how the data influences the changes to the district's overall Title IV plan and funding decisions. Districts are encouraged to review data throughout the school year in order to efficiently identify the district's needs and intervene with programming and professional development to address these needs.

Selected T4PA Center Resources

[Braiding Funds to Enhance Title IV-A Program Efficiency and Outcomes](#)

[Title IV – A Implementation Planning Tool](#)

[Title IV- A LEA Needs Assessment Tool](#)

[Title IV- A Evaluation Tool](#)

[Developing Stakeholder Relationships to Support School Programming](#)

[Effective Use of Technology Resource Guide for Local Education Agencies](#)

[Preventing School Dropout Brief Resource Guide](#)

[Selecting Evidence-Based Programs and Practices for Title IV, Part A Activities](#)

Districts may have their own needs assessment tool or process and are not required to use the provided tool.

- Need Assessment Tool for download and district use can be found [here](#).
- Webinar about how to use the Need Assessment Tool can be found [here](#).
- View the Need Assessment Tool webinar slides can be found [here](#).

Other Resources

[ESEA](#)

[Title IV FAQs](#)

[Title IV Program Requirements](#)

Submission SSAE06 – Title IV Budget Requirement

(Note: a requirement for districts receiving \$30,000 or more in Title IV or Transfer Title IV)

Requirement

Districts that have an allocation of \$30,000 or more (including funds transferred into Title IV) must adhere to the following budget requirements:

- a. Not less than 20 percent of funds to support one or more of the activities authorized under section 4107 pertaining to well-rounded educational opportunities;
- b. Not less than 20 percent of funds to support one or more activities authorized under section 4108 pertaining to safe and healthy students; and
- c. A portion of funds to support one or more activities authorized under section 4109(a) pertaining to the effective use of technology, including an assurance that it will not use more than 15 percent of their EUT funds for purchasing technology infrastructure as described in section 4109(b)(ESEA section 4106(e)(2)(C)-(E)).

All expenditures must be supplemental in nature and do not supplant, or replace, activities the LEA is required to provide under state law.

Documentation

- Assurance statement that budget requirements were met. If not met, carryover requirements were addressed and budgeted for.
- Brief summary, ledger, or spreadsheet of total Title IV budget outlining activities in each of the above three areas with total percentage budgeted in each.

Alerts

Districts must maintain up-to-date records, tracking and coding Title IV expenditures. Only activities and expenditures approved within the Title IV consolidated application FY 21-22 will meet the spending requirements for this section.

For LEAs receiving an allocation of \$30,000 or more, it is expected that the LEA will meet the 20-20 Spending Obligation Rule within the fiscal year the funds were awarded.

For those LEAs that did not expend all their Title IV funds for the previous FY20-21, the percentages are still intact for those remaining funds and will need to be expended through contract amendments.

All districts could apply for a waiver for Title IV funds in the area of the requirement percentages and or in the area of the 15% cap on technology infrastructure.

Resources

[Object Code Categories](#)

[Tracking Federal and Local Funds](#)