



# *Documentation*

**This document has been updated to reflect new fiscal, accountability, and program guidelines as of August 2015.**

## No Child Left Behind Documentation

The *No Child Left Behind (NCLB) Documentation* tool provides local education agencies (LEAs) with guidance for documenting required program implementation activities according to the Texas Education Agency (TEA) Division of NCLB Program Coordination standards. To establish consistency across the State, the *NCLB Documentation* tool outlines the Division's expectations for sufficient documentation.

The tool is divided into various federal program requirement areas and provides clarification for 'Adequate Documentation' and 'Value Added Documentation.' The 'Adequate Documentation' column describes the minimum documentation that LEAs must maintain, while the 'Value Added Documentation' column provides documentation methods which extend beyond the requirements and are considered best practices.

Documentation refers to the process of providing evidence and communicating methods in which an activity required under NCLB occurred. The documentation must be sufficient to enable an audit or review team to understand fully the nature, timing, extent, and results of the activity performed. The form, content, and extent of documentation will depend on the type of activity. Documentation is an essential element of audit quality. Although documentation alone does not guarantee that quality activities occurred, the process of preparing sufficient and appropriate documentation contributes to the quality of an audit or review and allows a review team the opportunity to examine the documentation prior to conducting other types of review protocols, including interviews and other processes.

LEAs are required to maintain local documentation to provide evidence that specific NCLB activities occurred in accordance with program requirements. Documentation, also known as working papers or work papers, may be recorded on paper or via electronic means. If the LEA is transferring or copying paper documentation to another media, i.e., scanning, the procedure must ensure that the electronic copy is faithful in form and content to the original paper document. Whether documentation is in paper, electronic, or other media, the integrity, accessibility, and retrievability of the documentation are key.

Federal program requirements indicate that the retention of records/documentation must be kept for a minimum of five (5) years past the revised final expenditure reporting date, or longer as addressed through local policies and procedures. The LEA should enforce reasonable procedures to retain and access documentation for a period of time sufficient to meet the legal or regulatory requirements for records retention. Such retention period, however, should not be shorter than five years. External review teams, including the TEA, should have access to the documentation throughout that period, upon request.

Although documentation alone does not guarantee that quality activities occurred, the process of preparing sufficient and appropriate documentation contributes to the quality of an audit or review and allows a review team the opportunity to examine the documentation prior to conducting other types of review protocols, including interviews and other processes.

# Meetings

Meeting activities include, but are not limited to:

- ★ Standard Application System (SAS) Consultation Meetings
- ★ SAS Budget Review Meetings
- ★ Annual Title I Meeting
- ★ Coordination Meetings with Head Start, Even Start, etc.
- ★ Parent Involvement, Joint Policy Development, School-Parent Compact, and Other Parent Meetings
- ★ Comprehensive Needs Assessment /Data Review Meetings
- ★ Campus Improvement Plan Development and Review Meetings
- ★ Private Non-Profit School Participation and Consultation Meetings
- ★ Program Evaluation Meetings
- ★ Parent Advisory Council (PAC) Meetings
- ★ Safe and Drug-Free Schools and Communities Consultation and Advisory Meetings
- ★ Performance-Based Monitoring Team Meetings for Each Stage, as Appropriate

## Adequate Documentation

- » Announcement and/or invitation
- » Agenda with date, time, and location
- » Sign-in sheet
  - Title of meeting
  - Date, time, location
  - Participants with role noted
- » Meeting minutes/summary with date
- » Copy of distributed materials
- » Presentation materials, i.e. , PowerPoint, handouts, etc.

## Value Added Documentation

- » List of invitees and/or required participants
- » Announcement methods: Email, newsletter, notices, flyer, public posting, television, etc.
- » Varied meeting dates, times, and locations
- » Meeting evaluations
- » Posting of PowerPoint and/or materials on website
- » Evidence of follow-up meetings and/or trainings
- » Electronic and work paper copies of documentation in a central location (one official file)
- » Comments/quotes from participants
- » Follow-up with parents unable to attend



# Comprehensive Needs Assessment

Activities which contribute to the comprehensive needs assessment include, but are not limited to:

- ★ Program Evaluations
- ★ Data Reviews/Analyses
- ★ Survey/Interview Reviews
- ★ Inventory Reviews
- ★ Facilities Reviews
- ★ Technology Reviews
- ★ Budget Reviews/Analyses
- ★ Staffing Patterns
- ★ Professional Development Evaluations and Implementation Reviews
- ★ Curriculum Reviews
- ★ Instructional Reviews

## Adequate Documentation

- » List of people involved in Comprehensive Needs Assessment process, including positions represented (principals, teachers, paraprofessionals, parents, community, students, etc.)
- » Sign-in sheets from committee and sub-committee meetings
- » Agendas with date, time and location
- » Meeting minutes/summary with date
- » Copies of data considered
- » Direct correlation with Comprehensive Needs Assessment summary presented in district/campus improvement plans
- » Evidence that appropriate consultation with private school officials occurred prior to decisions being made, and that the needs of eligible private school students are considered during the comprehensive needs assessment process
- » Evidence that all required data sources have been considered
- » Evidence that all improvement plans that have been developed during the previous year (through required interventions or data validation processes) have been incorporated into the needs assessment and planning process
- » Evidence of follow-up meetings to determine program effectiveness and whether needs have changed during the year

## Value Added Documentation

- » Multiple opportunities for district and campus staff, parents, students, and community representatives to participate in the process
- » If subcommittees were used, evidence that a culminating meeting was held so that all participants could hear subcommittee results, ask questions, and participate in prioritizing needs

## Value Added Documentation

- » Evidence of how priorities were determined
- » Electronic copies of summary documents available to district and campus staff, and parents
- » Annual and longitudinal data reviews from multiple sources, including the following, if applicable:
  - State Assessments
  - SAT/ACT results
  - Advanced Course/Dual Enrollment and test results
  - International Baccalaureate results
  - Graduation program results
  - TPRI and other inventory/early assessment instrument results
  - Standardized tests
  - Norm/Criterion-Referenced Tests
  - Attendance
  - Mobility
  - Discipline
  - Graduation, completion, and dropout rates
  - Texas Success Initiative (TSI) data
  - Higher Education Readiness Component (HERC) data
  - Response to Intervention (Rtl) data
  - Course/class grades
  - Course assignments/master schedule reviews
  - Promotion/retention rates
  - Homeless and neglected/delinquent student data and needs

## Value Added Documentation

- » State data tables
- » Professional Development Appraisal System (PDAS) and other staff performance data—formative and summative
- » Teacher evaluation information
- » Special program participation, performance, and exit data
- » Special program evaluation data
  - Federal program reviews
  - State program reviews
  - Local program reviews
- » Title I, Part C Migrant program data
- » Title I, Part C Migrant New Generation System (NGS) data
- » Technology needs: implementation/integration data
- » Facilities reviews for safety and other maintenance needs
- » Budget/finance reviews
- » Tax rate and tax base
- » Performance-Based Monitoring Analysis System (PBMAS) results
- » Initial Compliance Review (ICR) results
- » Data Validation Monitoring (DVM) results

*Note: Comprehensive Needs Assessment activities include reviews for various stakeholders (students, staff, parents, community, etc.) by demographic and other breakdown, along with system reviews (facilities, budgets, materials, resources, etc.). The comprehensive nature of the review should include multiple sources of data; annual and longitudinal analyses, where applicable; identification of trends and patterns; summary(ies) of needs; and the development of performance objectives which are tied to the needs outlined in the data. Title I, Part A programs must have a campus improvement plan which clearly outlines the data sources reviewed and the summary(ies) of identified needs, in addition to the other district and campus planning requirements outlined in Texas Education Code (TEC) Sections 11.251-11.253 (See Appendix A.)*

## Consultation

Consultation activities include, but are not limited to:

- ★ NCLB SAS Consultation for all SAS Programs
  - ★ Title I, Part A Parent Consultation for Parent Involvement Policies, School-Parent Compact, and Development of the Comprehensive Campus Plan
  - ★ Title I, Part C Parent Advisory Council (PAC)
  - ★ Title III, Part A Consultation to Develop the Local Plan
  - ★ Title IV, Part A Consultation Regarding the Program and the Principles of Effectiveness
- ★ Private Non-Profit School Consultation
 

Consultation must, at a minimum, address the following issues:

    - How the LEA will identify the needs of eligible private school children;
    - What services the LEA will offer to eligible private school children;
    - How and when the LEA will make decisions about the delivery of services;
    - How, where, and by whom the LEA will provide services to eligible private school children;
    - Who will provide the services;
    - How the LEA will assess the services and how it will use results of the assessment to improve those services; and
    - Amount of funds available for services.

### Adequate Documentation

The following documentation requirements apply to all consultation meetings noted above:

- » Announcement and/or invitation
- » Agenda with date, time, and location
- » Sign-in sheet
  - Title of meeting
  - Date, time, location
  - Participants with role noted
- » Meeting minutes/summary with date
- » Copy of distributed materials
- » NCLB SAS consultation documentation
- » Title I, Part A parent consultation for:
  - Parent involvement policies
  - School-parent compact
  - Comprehensive campus plan and written parent comments regarding the plan
- » Title I, Part C Parent Advisory Council (PAC)
  - Documentation for PAC membership selection process
  - PAC procedures and meeting schedules
- » Title I, Part C Migrant Parent Certification forms
- » Title III, Part A consultation to develop the local plan
- » Title IV, Part A consultation regarding the Principles of Effectiveness

- » Private non-profit school consultation
  - Documentation regarding the non-profit status of the private school, i.e., tax-exempt identification number or 403b form
  - Initial consultation—written affirmation signed by the private non-profit school official that consultation occurred
  - Written documentation signed by the private non-profit school official indicating that school declined services, if applicable
  - Ongoing consultation and assessment of services
  - Documentation regarding how low-income students were determined
  - Established criteria that outlines which students will be served
  - Documentation that indicates services were provided in a timely manner, i.e., service log, etc.
  - Documentation that both parties agreed regarding standards that constitute annual progress

### Value Added Documentation

- » Presentation materials, i.e., PowerPoint, handouts, etc. in electronic format, as well as, a print copy (one official file)
- » Announcement/invitation in multiple formats (newsletter, TV, email, newspaper, flyers in public places, etc.)
- » Evaluation
- » Multiple meetings/locations

*Note: Consultation activities refers to instances where various stakeholders/individuals must meet to collectively provide input regarding program activities, use of funds, or other decision-making areas. Although consultation is often provided in meeting format, it is noted as a separate category to address the term 'consultation' as noted in NCLB statute.*

## Coordination

Coordination activities include, but are not limited to:

- ★ Coordination of NCLB Programs with Other Federal, State, and Local Programs
- ★ Coordinated District Meetings for Planned Coordinated Activities
- ★ District and Campus Improvement Plan Coordination Activities
- ★ NCLB Compliance Report Coordinated Funding
- ★ Coordination of Parent Involvement Strategies with Other Programs
- ★ Coordination of Title I, Part A Strategies and Activities with Other Agencies, such as Head Start, Even Start, Day Cares, etc.
- ★ Coordination of Title I, Part A Services with Title I, Part C (Migrant); Title II, Part A; Title III, Part A; Special Education, etc.
- ★ Title I, Part C (Migrant) with (Migrant Services Coordination):
  - Other programs, services, and entities, including the Texas Migrant Interstate Program (TMIP);
  - Other districts to request and receive transfer student records in a timely manner;
  - Other entities/programs for mentoring and credit accrual; and
  - Out-of-state summer migrant programs.
- ★ Title III, Part A Coordination with Bilingual/ESL Activities
- ★ Title IV, Part A Coordination of Funds and Activities with Other Community-Based Programs that:
  - Foster a safe and drug-free learning environment;
  - Are consistent with the principles of effectiveness; and
  - Prevent or reduce violence, drugs, and delinquency.

### Adequate Documentation

- » Coordinated meetings which include stakeholders from various programs and service entities to accomplish activities noted above—meeting documentation includes:
  - Announcement and/or invitation
  - Agenda with date, time, and location
  - Sign-in sheet
    - Title of meeting
    - Date, time, location
    - Participants with role noted
  - Meeting minutes/summary with date
  - Copy of distributed materials
  - Presentation materials, i.e., PowerPoint, handouts, etc.
- » Coordination of activities through joint initiatives are documented through:
  - Announcement and/or invitations
  - Flyers
  - Materials, shared documents
  - Presentations
  - Memorandum of Understanding (MOU) or other written agreements
  - Student record transfer logs
- » Coordination of programs and funds are documented through:
  - District and campus improvement plans
    - Resource column coordination
  - Purchase orders and payment authorizations
  - Contracts agreements
  - Coordinated payroll fund sources
  - NCLB compliance report coordinated funding

### Value Added Documentation

- » Presentation materials, i.e., PowerPoint, handouts, etc. in electronic format, as well as, a print copy (one official file)
- » Announcement/invitation in multiple formats (newsletter, TV, email, newspaper, flyers in public places, etc.)
- » Evaluation
- » Multiple meetings/locations

## Parent Notifications

*Parent notification activities include, but are not limited to:*

- ★ Notification and Information Provided to Parents in an Understandable and Uniform Format and, to the Extent Practicable, Provided in a Language that the Parents Can Understand
- ★ Parent Notification Regarding Staff Qualifications
- ★ Notification that the Parent Has the Right to Request Information Concerning Services Provided by Paraprofessionals, and if so, Their Qualifications
- ★ Notice that the Student Has Been Assigned for Four or More Consecutive Weeks by a Teacher Who is Not Highly Qualified
- ★ Title I, Part A Parent Involvement Policy Distribution
- ★ Information Regarding the Existence and Purpose of Parental Information Resource Centers
- ★ Student Progress Reports
- ★ Student Performance on State Academic Assessments (Confidential Student Reports)
- ★ Annual School Report Card Notification
- ★ Information Regarding How Technology is Being Applied to Their Child's Education
- ★ Limited English Proficient (LEP) Student Progress and Achievement
- ★ LEA Annual Measurable Achievement Objectives (AMAOs) Performance
- ★ Notification to Parents of Limited English Proficient (LEP) Students of the Eight (8) Required Areas
- ★ Parent Notification of the Contents of Programs or Activities Funded Under the Safe and Drug-Free Schools and Communities Act Program
- ★ Persistently Dangerous School Transfer Notification
- ★ Student Victims of Violent Crime Notifications
- ★ NCLB Report Card Notifications

### Adequate Documentation

#### Mailed

- » Copy of notification with date
- » Distribution list
- » Postage receipt with date
- » Notification documented in multiple languages, if appropriate/applicable

#### Web Posting

- » Copy of documents posted on web
- » Dated printout of web posting showing links or information
- » Copy of communication(s) notifying parents that the information is located on the website, i.e., newsletters, flyers, etc.
- » Information on any computers that are made available to parents/public who may not have personal computers and/or where information is available in hard copy
- » Notification documented in multiple languages, if appropriate/applicable

#### Sent Home with Student

- » Copy of notification with date
- » Notification documented in multiple languages, if appropriate/applicable

### Value Added Documentation

- » Announcement methods: Email, newsletter, notices, flyer, public posting, television, etc.
- » Confirmation from parents that they received the notice
- » Parent phone alert system transcripts
- » Electronic and work paper copies of documentation in a central location (one official file)
- » Copy of request for web posting
- » Documentation of the decision to provide notification only in English when not providing notification in any other language
  - Number of LEP students
  - Why the decision was made

## Parent Involvement Policies

*Parent involvement policy activities include, but are not limited to:*

- ★ Joint Development, Distribution, and Implementation of Parent Involvement Policies
- ★ Involvement of the Parents in Providing Input Regarding the School-Parent Compact

### Adequate Documentation

- » Parent involvement development sessions
  - Announcement and/or invitation
  - Agenda with date, time, and location
  - Sign-in sheet
    - Title of meeting
    - Date, time, location
    - Participants with role noted—must include parents
  - Meeting minutes/summary with date
  - Copy of distributed materials
  - Presentation materials, i.e., PowerPoint, handouts, etc.
- » Parent involvement policy—district and campus levels
- » Documentation of distribution of the parent involvement policy, including distribution in multiple languages, if appropriate/applicable

### Value Added Documentation

- » Announcement methods: Email, newsletter, notices, flyer, public posting, television, etc.
- » Varied meeting dates, times, and locations
- » Meeting evaluations
- » Posting of PowerPoint and/or materials on website
- » Evidence of follow-up meetings and/or trainings
- » Electronic and work paper copies of documentation in a central location (one official file)



## Program Expenditures

*Program Expenditures activities include, but are not limited to:*

- ★ Expenditures Related to Activities Identified and Approved in the NCLB SAS
- ★ Expenditures that meet the guidelines of the New EDGAR
- ★ Expenditures which are Supplemental and Coordinated with Other Federal, State and Local Activities

### Adequate Documentation

#### Program and Fiscal

- » Documentation of the expenditure can be linked to the programmatic intent and purpose of the fund source
- » Documented ties to NCLB SAS program abstract and other SAS schedule strategies/activities
- » Meets the requirements of New EDGAR
- » The LEA should be able to appropriately respond to, and maintain documentation for, each of the following questions to determine whether an expenditure is allowable:
  1. Is the expenditure reasonable and necessary to carry out the intent and purpose of the program?
  2. Does the expenditure address a need previously identified in the campus comprehensive needs assessment?
  3. Is the program/activity/strategy to be funded described in the district/campus improvement plan?
  4. How will the expenditure be evaluated to measure a positive impact on student achievement?
  5. If a schoolwide campus, will the expenditure upgrade the entire educational program on the campus?
  6. Is the expenditure supplemental to other non-federal programs? (On schoolwide program, the amount of the Title I, Part A funding on the campus must be supplemental. On a targeted assistance program, the program/activity/strategy must be supplemental.)
- » Documentation should define the measurable objective for effectiveness and support progress toward meeting the performance objective(s)
- » Documentation ensures that the appropriate accounting codes are used (fund, function, class object, sub-object, organization, fiscal year, program intent code)
- » Documentation ensures that NCLB expenditures are supplemental
- » Documentation ensures that proper inventory controls for items purchased are implemented
- » Time and effort is documented for personnel, as appropriate
- » Contracts clearly outline the service provider, type/description of service, schedule of service, and payment rate/cost
- » Invoices clearly outline the type of service/product, quantity, date(s) services were rendered/or products provided, and payment rate/cost
- » Documentation for shared services arrangements is available, including at a minimum:
  - Written shared services agreement (See Appendix B for required components of the agreement.)
  - Flow-through funds agreements, if applicable
  - Activities which support the program abstract schedule
- » Documentation for program expenditures includes, but is not limited to:
  - NCLB SAS and amendments
  - Comprehensive needs assessment data and summary(ies) of needs
  - District and/or campus improvement plans with clearly outlined strategies/activities and resources the expenditure is linked to
  - Purchase orders and/or payment authorizations, including at least two approval signatures
  - Budget reports
  - Contracts or agreements
  - Invoices
  - Payroll, including PEIMS code for staff and job descriptions
  - Inventory controls
  - Audit Reports
  - TEA SAS schedule approval documentation, if applicable
- » Documentation of maintenance of effort
- » If the LEA served multiple attendance areas, documentation for comparability of services is available, including the comparability report and test spreadsheets
- » If the LEA is required to apply the 125% Special Allocation Rule, the LEA has documentation for campus rankings, feeder patterns, and additional 125% determination work papers
- » Expenditures for services to schools for eligible participants including private non-profit schools
- » Inventory controls for LEA materials and equipment at private non-profit schools

### Value Added Documentation

- » Clearly defined procedures for expenditure approvals

# Reservation of Funds

*Reservation of Funds activities include, but are not limited to:*

- ★ Serving Homeless Students
- ★ Serving Neglected and/or Delinquent Students
- ★ Private Non-Profit Schools Proportionate Share
- ★ Parent Involvement Activities
- ★ Professional Development Activities
- ★ Districtwide Initiatives
- ★ Authorized Activities for all Applicable Title I Served Campuses, i.e., Preschool Programs, Summer School and Intersession Programs, etc.

## Adequate Documentation

- » PEIMS reports indicating pupil counts
- » NCLB SAS indicating the amount reserved for each reservation area noted in the SAS
- » Budget records indicating that the amount approved in the SAS matches the actual dollar amount reserved
- » Program work papers indicating how the per-pupil allocation was determined
- » Consultation agreement for participating private non-profit schools
- » Program work papers indicating how the private non-profit proportionate share was determined and set aside
- » Documentation for the use of the reserved funds also includes, but is not limited to:
  - The list of homeless students and how they were served
  - The list of neglected and/or delinquent facilities and how students in these facilities were served
  - The size and scope of the equitable services that the LEA will provide to eligible private school children
  - The method, or the sources of data, that the LEA will use to determine the number of private school children from low-income families residing in participating public school attendance areas, including whether the LEA will extrapolate data if a survey is used
  - Verification of private non-profit status

- » Parent involvement and professional development activities
  - Agenda with date and topic
  - Sign-in sheet
    - Title of professional development session
    - Date, time, location
    - Participants with role noted
    - Copy of distributed materials
    - Presentation materials, i.e., PowerPoint, handouts, etc.
- » Districtwide initiatives implemented with the LEA reservation of funds
  - What was implemented?
  - How did all served campuses benefit, including participating private non-profit schools?
  - How do expenditures match the reserved funds?

## Value Added Documentation

- » Reservation of funds documented in the district improvement plan
- » Direct correlation with findings of the comprehensive needs assessment
- » If applicable, explanation of the district decision to use different fund source(s)
- » If applicable, explanation of why the reservation is not needed
- » Principals' meetings indicating the discussion for use of reservation of funds

# Highly Qualified

*Highly Qualified (HQ) activities include, but are not limited to:*

- ★ Hiring Practices
- ★ HQ Determinations
- ★ Staffing Decisions
- ★ Principal Attestation
- ★ Professional Development
- ★ Parent Notifications

## Adequate Documentation

### LEA Level

- » NCLB HQ teacher reports—district and campus
- » Documentation to support HQ determinations, i.e., HQ determination forms
- » Job descriptions
- » Campus master schedules with teacher assignments
- » Teaching certificates; exams passed
- » Transcripts
- » Permits and waivers
- » Principal attestation forms
- » Teacher professional development certificates
- » Recruitment and retention plans, if applicable
- » HQ teacher continuous improvement plan, if applicable
- » HQ professional development documentation, if used for HOUSE determinations
  - Agenda with date and topic
  - Sign-in sheet
    - Subject(s) covered
    - Title of professional development session
    - Date, time, location
    - Participants with role noted
  - Copy of distributed materials
  - Presentation materials, i.e., PowerPoint, handouts, etc.
- » Teacher service records

### Paraprofessionals

- Job descriptions
- Determination forms
- Transcripts, if applicable (high school and college)
- NCLB training documentation, if applicable
- Supervising teacher designation list

### Campus Level

- » NCLB campus HQ teacher report
- » Master schedule
- » Class/teaching assignments
- » Copies of signed principal attestation form
- » HQ professional development documentation, if used for HOUSE determinations
  - Agenda with date and topic
  - Sign-in sheet
    - Title of professional development session
    - Date, time, location
    - Participants with role noted
  - Copy of distributed materials
  - Presentation materials, i.e., PowerPoint, handouts, etc.
- » Paraprofessional supervising teacher designation list
- » Plans for non-qualified paraprofessionals

### Value Added Documentation

- » PEIMS staff reports
- » Budget records for HQ professional development
- » Source of salary records
- » Notice to parents informing of the right to request the qualifications of their child's teacher
- » Notice to parents regarding their right to request information concerning services provided by paraprofessionals, and if so, their qualifications
- » Parent notification letters, if applicable, regarding students taught for four weeks or more by a teacher who is not qualified
- » Policies for:
  - Life skills teachers
  - Uses of HOUSE
  - Closely related fields
  - Local assessment for paraprofessionals
  - HQT policies that strengthen the NCLB HQT requirements

# Public Reporting

*Public Reporting activities include, but are not limited to:*

- ★ NCLB Report Card
- ★ Public Hearings
- ★ Public Announcements
- ★ School Board Meetings
- ★ Highly Qualified

## Adequate Documentation

### School Board Meeting

- » Board meeting notifications with date
- » Board agenda with date, time, and location
- » Board meeting minutes with date and public reporting requirement
- » Sign-in sheet with date and person's role noted
- » Copy of distributed materials

### Web Posting

- » Copy of documents posted on web
- » Dated printout of web posting showing links or information
- » Copy of communication(s) notifying parents that the information is located on the website, i.e., newsletters, flyers, etc.
- » Information on any computers that are made available to parents/public who may not have personal computers and/or where information is available in hard copy

### Any district/campus level meeting (i.e., site-based decision making, PTA/PTO, public hearings)

- » Copy of notification with date
- » Agenda with date, time, and location
- » Sign-in sheet
  - Title of meeting
  - Date, time, location
  - Participants with role noted
- » Meeting minutes/summary with date
- » Copy of distributed materials
- » Presentation materials, i.e., PowerPoint, handouts, etc.

## Value Added Documentation

- » Announcement methods: Email, newsletter, notices, flyer, public posting, television, etc.
- » Confirmation from parents that they received the notice
- » Parent phone alert system transcripts
- » Electronic and work paper copies of documentation in a central location (one official file)
- » Copy of request for web posting
- » More than one public hearing
- » Notification documented in multiple languages, if appropriate/applicable
- » District policy/procedure for how public reporting requirements are to be met

## Private Non-Profit School Activities

*Potential Private Non-Profit School activities include, but are not limited to:*

- ★ Private Non-Profit Proportionate Share Calculations and Budget Set-Aside
- ★ Private Non-Profit Status Verification
- ★ Private Non-Profit School Participation and Consultation Meetings
- ★ Comprehensive Needs Assessment /Data Review to Determine Private Non-Profit School Needs
- ★ LEA Determination of Student Eligibility Criteria
- ★ Documentation that the Private Non-Profit School Declined Services, if Applicable
- ★ Low-Income Family Determination (at least every two years)/Poverty Data
- ★ Resident Verification
- ★ Ongoing Review of Private Non-Profit School Services
- ★ Private Non-Profit School Professional Development
- ★ Inventory Controls
- ★ Private Non-Profit School Assessment/Evaluation of Services—Documentation that Both Parties Agreed Regarding Standards that Constitute Annual Progress

### Adequate Documentation

- » Proportionate share calculations /work papers for private non-profit per-student calculations
- » Budget set-aside of private non-profit school funds
- » Private non-profit school verification (403b or tax-exempt status documentation)
- » Consultation meetings, including written affirmation that the meeting occurred prior to decisions being made
  - Announcement and/or invitation
  - List of invitees and/or required participants
  - Agenda with date, time, and location
  - Sign-in sheet
    - Title of meeting
    - Date, time, location
    - Participants with role noted
  - Meeting minutes/summary with date
  - Copy of distributed materials
  - Presentation materials, i.e., PowerPoint, handouts, etc.
- » At a minimum, consultation with private non-profit school officials must address the following:
  - How the LEA will identify the needs of eligible children
  - What services the LEA will offer
  - How and when the LEA will make decisions
  - How, where, and by whom the LEA will provide services
  - How the LEA will assess the program and use the results to improve services
  - The size and scope of the equitable services and the proportion of funds the LEA will allocate for services
  - Method or sources of data the LEA will use to determine the number of low-income students
  - Services the LEA will provide to teachers and families of participating children
  - Discussion of service delivery mechanism the LEA can use
  - A thorough consideration and analysis of the views of the private school

- » Evidence the private non-profit school program services begin at same time as public school program
- » Documented agreement between the LEA and private non-profit school official regarding standards that constitute annual progress
- » Documented evaluation of the services to eligible private non-profit school participants
- » Needs assessment or other data documenting service needs
- » Student eligibility criteria, plus eligible and served student lists
- » Documented private non-profit school decline of services, if applicable
- » Low-income family determinations
- » Resident verifications
- » Documented ongoing review of the impact of private non-profit school services
- » Inventory controls
  - Current inventory log—name of item, date purchased, and location
  - Tagged/marked equipment and materials purchased with NCLB funds

### Value Added Documentation

- » Announcement methods: Email, newsletter, notices, flyer, public posting, television, etc.
- » Varied meeting dates, times, and locations
- » Meeting evaluations
- » Posting of PowerPoint and/or materials on website
- » Evidence of follow-up meetings and/or trainings
- » Electronic and work paper copies of documentation in a central location (one official file)

## Program Evaluation

*Program Evaluation activities include, but are not limited to:*

- ★ Evaluations for All NCLB Programs
- ★ Evaluation of Services to Eligible Private Non-Profit School Participants
- ★ Performance-Based Monitoring and Interventions Activities

### Adequate Documentation

- » Documentation of measurable objectives for effectiveness were set prior to implementation of NCLB programs
- » Documentation that indicates the means used to measure progress towards the measurable objectives—documentation is tied to district and campus improvement plans
- » Evidence that program activities outlined in the NCLB SAS program abstract were implemented and the effect/impact of those activities was determined (What measurable progress was made toward the objectives?)
- » Documentation of performance data for targeted students and student groups in each NCLB program area evaluated (See the Comprehensive Needs Assessment section on page 3 for formative and summative data sources.)
- » Documentation that program expenditures are having a positive effect on the measurable objectives
- » Performance-based monitoring and interventions review process documentation
- » Private non-profit school ongoing and annual reviews compared to the agreed standards for annual progress

### Value Added Documentation

- » Electronic and work paper copies of documentation in a central location (one official file)



## Appendix A

### TEXAS EDUCATION CODE SUBCHAPTER F. DISTRICT-LEVEL AND SITE-BASED DECISION-MAKING

#### Sec. 11.251. PLANNING AND DECISION-MAKING PROCESS.

(a) The board of trustees of each independent school district shall ensure that a district improvement plan and improvement plans for each campus are developed, reviewed, and revised annually for the purpose of improving the performance of all students. The board shall annually approve district and campus performance objectives and shall ensure that the district and campus plans:

- (1) are mutually supportive to accomplish the identified objectives; and
- (2) at a minimum, support the state goals and objectives under Chapter 4.

(b) The board shall adopt a policy to establish a district- and campus-level planning and decision-making process that will involve the professional staff of the district, parents, and community members in establishing and reviewing the district's and campuses' educational plans, goals, performance objectives, and major classroom instructional programs. The board shall establish a procedure under which meetings are held regularly by district- and campus-level planning and decision-making committees that include representative professional staff, parents of students enrolled in the district, business representatives, and community members. The committees shall include a business representative without regard to whether the representative resides in the district or whether the business the person represents is located in the district. The board, or the board's designee, shall periodically meet with the district-level committee to review the district-level committee's deliberations.

(c) For purposes of establishing the composition of committees under this section:

- (1) a person who stands in parental relation to a student is considered a parent;
- (2) a parent who is an employee of the school district is not considered a parent representative on the committee;
- (3) a parent is not considered a representative of community members on the committee; and
- (4) community members must reside in the district and must be at least 18 years of age.

(d) The board shall also ensure that an administrative procedure is provided to clearly define the respective roles and responsibilities of the superintendent, central office staff, principals, teachers, district-level committee members, and campus-level committee members in the areas of planning,

budgeting, curriculum, staffing patterns, staff development, and school organization. The board shall ensure that the district-level planning and decision-making committee will be actively involved in establishing the administrative procedure that defines the respective roles and responsibilities pertaining to planning and decision-making at the district and campus levels.

(e) The board shall adopt a procedure, consistent with Section 21.407(a), for the professional staff in the district to nominate and elect the professional staff representatives who shall meet with the board or the board designee as required under this section. At least two-thirds of the elected professional staff representatives must be classroom teachers. The remaining staff representatives shall include both campus- and district-level professional staff members. Board policy must provide procedures for:

- (1) the selection of parents to the district-level and campus-level committees; and
- (2) the selection of community members and business representatives to serve on the district-level committee in a manner that provides for appropriate representation of the community's diversity.

(f) The district policy must provide that all pertinent federal planning requirements are addressed through the district- and campus-level planning process.

(g) This section does not:

- (1) prohibit the board from conducting meetings with teachers or groups of teachers other than the meetings described by this section;
- (2) prohibit the board from establishing policies providing avenues for input from others, including students or paraprofessional staff, in district- or campus-level planning and decision-making;
- (3) limit or affect the power of the board to govern the public schools; or
- (4) create a new cause of action or require collective bargaining.

#### Sec. 11.252. DISTRICT-LEVEL PLANNING AND DECISION-MAKING.

(a) Each school district shall have a district improvement plan that is developed, evaluated, and revised annually, in accordance with district policy, by the superintendent with the assistance of the district-level committee established under Section 11.251. The purpose of the district improvement plan is to guide district and campus staff in the improvement of student performance for all student groups in order to attain state standards in respect to the academic excellence indicators adopted under Section 39.051. The district improvement plan must include provisions for:

- (1) a comprehensive needs assessment addressing

district student performance on the academic excellence indicators, and other appropriate measures of performance, that are disaggregated by all student groups served by the district, including categories of ethnicity, socioeconomic status, sex, and populations served by special programs, including students in special education programs under Subchapter A, Chapter 29;

(2) measurable district performance objectives for all appropriate academic excellence indicators for all student populations, including students in special education programs under Subchapter A, Chapter 29, and other measures of student performance that may be identified through the comprehensive needs assessment;

(3) strategies for improvement of student performance that include:

- (A) instructional methods for addressing the needs of student groups not achieving their full potential;
- (B) methods for addressing the needs of students for special programs, such as suicide prevention, conflict resolution, violence prevention, or dyslexia treatment programs;
- (C) dropout reduction;
- (D) integration of technology in instructional and administrative programs;
- (E) discipline management;
- (F) staff development for professional staff of the district;
- (G) career education to assist students in developing the knowledge, skills, and competencies necessary for a broad range of career opportunities; and
- (H) accelerated education;

(4) strategies for providing to middle school, junior high school, and high school students, those students' teachers and counselors, and those students' parents information about:

- (A) higher education admissions and financial aid opportunities;
  - (B) the TEXAS grant program and the Teach for Texas grant program established under Chapter 56;
  - (C) the need for students to make informed curriculum choices to be prepared for success beyond high school; and
  - (D) sources of information on higher education admissions and financial aid;
- (5) resources needed to implement identified strategies;
- (6) staff responsible for ensuring the accomplishment of each strategy;
- (7) timelines for ongoing monitoring of the implementation of each improvement strategy; and
- (8) formative evaluation criteria for determining

periodically whether strategies are resulting in intended improvement of student performance.

(b) A district's plan for the improvement of student performance is not filed with the agency, but the district must make the plan available to the agency on request.

(c) In a district that has only one campus, the district- and campus-level committees may be one committee and the district and campus plans may be one plan.

(d) At least every two years, each district shall evaluate the effectiveness of the district's decision-making and planning policies, procedures, and staff development activities related to district- and campus-level decision-making and planning to ensure that they are effectively structured to positively impact student performance.

(d-1) Expired.

(e) The district-level committee established under Section 11.251 shall hold at least one public meeting per year. The required meeting shall be held after receipt of the annual district performance report from the agency for the purpose of discussing the performance of the district and the district performance objectives. District policy and procedures must be established to ensure that systematic communications measures are in place to periodically obtain broad-based community, parent, and staff input and to provide information to those persons regarding the recommendations of the district-level committee. This section does not create a new cause of action or require collective bargaining.

(f) A superintendent shall regularly consult the district-level committee in the planning, operation, supervision, and evaluation of the district educational program.

#### **Sec. 11.253. CAMPUS PLANNING AND SITE-BASED DECISION-MAKING.**

(a) Each school district shall maintain current policies and procedures to ensure that effective planning and site-based decision-making occur at each campus to direct and support the improvement of student performance for all students.

(b) Each district's policy and procedures shall establish campus-level planning and decision-making committees as provided for through the procedures provided by Sections 11.251(b)-(e).

(c) Each school year, the principal of each school campus, with the assistance of the campus-level committee, shall develop, review, and revise the campus improvement plan for the purpose of improving student performance for all student populations, including students in special education programs under Subchapter A, Chapter 29, with respect to the academic excellence indicators adopted under Section 39.051 and any other appropriate performance measures for special needs populations.

(d) Each campus improvement plan must:

- (1) assess the academic achievement for each student in the school using the academic excellence indicator system as described by Section 39.051;
- (2) set the campus performance objectives based on the academic excellence indicator system, including objectives for special needs populations, including students in special education programs under Subchapter A, Chapter 29;
- (3) identify how the campus goals will be met for each student;
- (4) determine the resources needed to implement the plan;
- (5) identify staff needed to implement the plan;
- (6) set timelines for reaching the goals;
- (7) measure progress toward the performance objectives periodically to ensure that the plan is resulting in academic improvement;
- (8) include goals and methods for violence prevention and intervention on campus; and
- (9) provide for a program to encourage parental involvement at the campus.

(e) In accordance with the administrative procedures established under Section 11.251(b), the campus-level committee shall be involved in decisions in the areas of planning, budgeting, curriculum, staffing patterns, staff development, and school organization. The campus-level committee must approve the portions of the campus plan addressing campus staff development needs.

(f) This section does not create a new cause of action or require collective bargaining.

(g) Each campus-level committee shall hold at least one public meeting per year. The required meeting shall be held after receipt of the annual campus rating from the agency to discuss the performance of the campus and the campus performance objectives. District policy and campus procedures must be established to ensure that systematic communications measures are in place to periodically obtain broad-based community, parent, and staff input, and to provide information to those persons regarding the recommendations of the campus-level committees.

(h) A principal shall regularly consult the campus-level committee in the planning, operation, supervision, and evaluation of the campus educational program.

## Appendix B

### PART 1: SPECIAL INSTRUCTIONS FOR SHARED SERVICES ARRANGEMENTS (*Excerpt with documentation required noted below*)

- Fiscal Agents must ensure that all LEAs who are included in the SSA Application for Federal Funding by the September application deadline, are shown on the List of SSA Members releasing funds to the fiscal agent, and retain locally signed agreements for each LEA member.
- An LEA releasing funds on the ADC form to the fiscal agent MUST remain in the SSA for the duration of the project. An LEA cannot submit the Consolidated Application for Federal Funding for a fund source for which they selected “Apply as Member of SSA.”
- When LEAs enter into an SSA, a **written agreement** must be developed to address the responsibilities of each member and the fiscal agent. The agreement must be signed by both the member and the fiscal agent prior to the fiscal agent submitting the NCLB SAS through eGrants.
- The SSA shall determine in advance and in writing as part of the shared services agreement how federal roll forward (carryover) funds will be distributed if a member LEA leaves the arrangement or if the arrangement dissolves. The fiscal agent and the SSA members are charged with resolving the issue of roll forward distribution and handling the accounting and documentation of any transfers of funds resulting from a member leaving an arrangement or an arrangement dissolving. If an LEA has an independent project in the prior year and desires to join an SSA in the current year, the roll forward will roll to the fiscal agent. Upon request, documentation of any such transfers shall be available to the Texas Education Agency.
- The fiscal agent must maintain on file a copy of the written shared services agreement for audit and monitoring purposes. By registering as a fiscal agent on the ADC form and submitting the NCLB SAS as an SSA, the fiscal agent is assuring that the written shared services agreement is on file.
- Fiscal agents will collaborate and work with member LEAs to determine if transferability and REAP flexibility will be used for the alternative use of applicable funds. The written shared services agreement must address how services for this flexibility will be provided to participating LEAs.
- The written shared services agreement should address certain legal requirements as described below (refer to section 1.3.1.4 of FAR, *Financial Accountability System Resource Guide*, for more detailed information pertaining to shared services arrangement written agreements):
  - a. Organization of the SSA
  - b. Ownership of assets (including policies and procedures addressing the disposition of such assets if the SSA is terminated by one or all of the members).
  - c. Liabilities (i.e., legal fees due to complaints, grievances, or litigation; refunds from on-site monitoring or audits, etc.)
  - d. Basis for allocation of costs of the fiscal agent
  - e. Responsibilities of the fiscal agent, including:
    - Services to be provided to member LEAs
    - Employment of personnel
    - Budgeting and accounting
    - Reporting
    - Private for profit/private nonprofit schools
  - f. Responsibilities of member LEAs, including:
    - Employment of personnel
    - Budgeting
    - Reporting
    - Private for profit/private nonprofit schools
- The fiscal agent is responsible for ensuring that all funds, including payments to be made to member LEAs are expended in accordance with applicable laws and regulations for each budgeted fund source.
- If the consultation requirement is the member LEA’s responsibility according to the written shared services agreement, the fiscal agent should enter “on file” in the blank. The fiscal agent is responsible for maintaining on file the most recent date when consultation occurred for each member LEA.
- The fiscal agent is responsible for maintaining on file the current date that the LEA board of trustees will publish its Annual Performance Report required under TEC § 39.053 for each member LEA.
- If funding transferability is applicable, submit a separate Schedule PS3109 for each member of the SSA, as applicable. The written shared services agreement must state the procedure used to provide a clear audit trail if this flexibility is implemented.
- If member LEAs are eligible and choose to participate in Title VI, Part B, Section 6211—REAP, complete a REAP section for every member district.
  - Fiscal agents and member districts will collaborate and work together to determine if this flexibility is a viable option. The written shared services agreement must provide a clear audit trail for these alternative uses of funds provided to participating LEAs.

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