

**HIGHLY QUALIFIED TEACHERS AND  
IMPROVING TEACHER QUALITY STATE GRANTS (ESEA TITLE II, PART A)**

**STATE EDUCATIONAL AGENCY (SEA) MONITORING PROTOCOL**

This document is intended to assist States in preparing for monitoring reviews by describing the scope of the information that the U.S. Department of Education (the Department) expects to review and analyze. Department staff will use this document as a tool to guide questions and conversations designed to ensure our full understanding of the procedures the State has implemented to meet the “Highly Qualified Teacher” requirements of the Elementary and Secondary Education Act (ESEA), and to manage the ESEA Title II, Part A, *Improving Teacher Quality State Grants* program. The monitoring review will identify areas in which the State or local educational agencies can improve, as well as areas in which they have made notable progress or can be commended for effective practices.

The review will cover the statutory requirements in Title I, Part A and Title IX of the ESEA governing highly qualified teachers, as well as those that govern the ESEA Title II, Part A program. The site review team will want to examine evidence of the State’s adherence to both sets of requirements as well as the State’s implementation of its revised plan for reaching the goal of having all core subject classes taught by highly qualified teachers. The Department will report to the State on any areas of non-compliance identified in the review.

**STATE** \_\_\_\_\_

Date of Monitoring Visit \_\_\_\_\_

Number of LEAs \_\_\_\_\_ Number of Schools \_\_\_\_\_ Number of Teachers \_\_\_\_\_

Names of LEAs participating in the monitoring visit

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

*State Allocation (FY 2006<sup>1</sup>)* \_\_\_\_\_ *State Allocation (FY 2007<sup>2</sup>)* \_\_\_\_\_

LEA Allocation (FY 2006) \_\_\_\_\_ LEA Allocation (FY 2007) \_\_\_\_\_

“State Activities” (FY 2006) \_\_\_\_\_ “State Activities” (FY 2007) \_\_\_\_\_

SAHE Allocation (FY 2006) \_\_\_\_\_ SAHE Allocation (FY 2007) \_\_\_\_\_

SEA Administration (FY 2006) \_\_\_\_\_ SEA Administration (FY 2007) \_\_\_\_\_

SAHE Administration (FY 2006) \_\_\_\_\_ SAHE Administration (FY 2007) \_\_\_\_\_

<sup>1</sup> FY 2006 funds are those that became available to the State on July 1, 2006.

<sup>2</sup> FY 2007 funds are those that became available to the State on July 1, 2007.

## I. HQT Definitions and Procedures

The purpose of this section is to ensure that the State has developed and implemented procedures, consistent with the statutory definition of highly qualified, to determine whether *all* teachers of core academic subjects are highly qualified (ESEA, §9101(23)) and whether special education teachers who teach core subjects are highly qualified (IDEA, §601(10)).

<b>I.1. The State has established appropriate HQT requirements for all teachers who teach core subjects. §9101(23)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>In order to be considered highly qualified, teachers of core subjects must have</p> <ul style="list-style-type: none"> <li>• Earned a Bachelor's Degree</li> <li>• Completed requirements for full State Certification or be in an approved Alternative Certification program that meets the requirements of 34 CFR 200.56(a)(2)(ii).</li> <li>• Demonstrated subject area competence in manner consistent with the grade level they teach and with their status as teachers new or not new to the profession.</li> </ul>	<p>Possible sources of evidence:</p> <ul style="list-style-type: none"> <li>• Guidance provided to LEAs and teachers on HQT requirements (PowerPoint presentations, handbooks, etc.)</li> <li>• Information on the SEA web site that describes HQT requirements (please provide Web link)</li> </ul> <p><b>Please be sure that all of the following groups of teachers are covered in the submitted materials:</b></p> <ul style="list-style-type: none"> <li>• <b>Elementary teachers <i>new to the profession</i></b></li> <li>• <b>Elementary teachers <i>not new to the profession</i></b></li> <li>• <b>Secondary teachers <i>new to the profession</i></b></li> <li>• <b>Secondary teachers <i>not new to the profession</i></b></li> </ul>
<b>I.2. The State has established appropriate HQT requirements for <i>special education teachers who teach core academic subjects.</i> §602(10) of the IDEA</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>In order to be considered highly qualified, special education teachers who teach core content must have</p> <ul style="list-style-type: none"> <li>• Earned a Bachelor's Degree</li> <li>• Completed requirements for full State Certification <i>in special education</i> or be in an approved Alternative Certification program for special education that meets the requirements of 34 CFR 300.18(b)(2).</li> <li>• Demonstrated subject area competence in manner consistent with the grade level they teach and with their status as teachers new or not new to the profession.</li> </ul>	<p>Possible sources of evidence:</p> <ul style="list-style-type: none"> <li>• Guidance provided to LEAs and teachers on HQT requirements (PowerPoint presentations, handbooks, etc.)</li> <li>• Information on the SEA web site that describes HQT requirements (please provide Web link)</li> </ul> <p><b>Please be sure that all of the following groups of teachers are covered in the submitted materials:</b></p> <ul style="list-style-type: none"> <li>• <b>Elementary special education teachers <i>new to the profession</i></b></li> <li>• <b>Elementary special education teachers <i>not new to the profession</i></b></li> <li>• <b>Secondary special education teachers <i>new to the profession</i></b></li> <li>• <b>Secondary special education teachers <i>not new to the profession</i></b></li> </ul>

<b>I.3. Teachers who are enrolled in approved alternative certification programs AND who have already earned a bachelor’s degree AND successfully demonstrated subject matter competence may be counted as highly qualified for a period of three years (34 CFR 200.56(a)(2)(ii)).</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>In order to be considered highly qualified, teachers enrolled in alternative certification programs must</p> <ul style="list-style-type: none"> <li>• Receive high-quality professional development that is sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction before and while teaching;</li> <li>• Participate in a program of intensive supervision that consists of structured guidance and regular ongoing support for teachers, or a teacher mentoring program;</li> <li>• Assume functions as a teacher for a period not to exceed three years;</li> <li>• Demonstrate satisfactory progress toward full certification as prescribed by the State; and</li> <li>• Have successfully demonstrated subject matter competence.</li> </ul>	<p>The SEA must provide evidence (guidance to LEAs and teachers, web pages, handbooks, etc.) that subject matter competence demonstration has been required BEFORE any teacher enrolled in an alternative certification program is counted as highly qualified to teach a particular class.</p> <p>The SEA must provide evidence that any alternative certification program whose enrollees are considered highly qualified contains all of the required program elements.</p>

<b>I.4. The SEA ensures that all teachers hired after the first day of the 2002-2003 school year to teach in Title I programs were highly qualified at the time of hire. §1119(a)(1)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>All Title I teachers hired after the first day of the 2002-2003 school year were highly qualified at the time of hire.</p>	<ul style="list-style-type: none"> <li>• Assurances from LEAs that Title I hires are highly qualified.</li> <li>• Information collected from LEAs on the qualifications of Title I hires.</li> <li>• Evidence of monitoring.</li> <li>• Corrective action plans for LEAs found to be out-of compliance with appropriate Title I hiring practices.</li> </ul>

<b>I.5. The SEA ensures that all teachers paid with Title II, Part A funds for class size reduction are highly qualified. §2123(a)(2)(B)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>All teachers paid with Title II, Part A funds to reduce class size are highly qualified.</p>	<ul style="list-style-type: none"> <li>• Assurances from LEAs that all teachers paid with Title II, Part A funds are highly qualified.</li> <li>• Information collected from LEAs on the qualifications of teachers paid with Title II, Part A funds.</li> <li>• Evidence of monitoring.</li> <li>• Corrective action plans for LEAs found to be out-of compliance with appropriate Title II, Part A hiring practices.</li> </ul>

<b>I.6. The SEA ensures that all LEAs that receive Title I funds notify parents of students in Title I schools of their right to request and receive information on the qualifications of their children’s teachers. §1111(h)(6)(A)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
Notification of parents’ right to know is occurring in Title I schools in each LEA that receives Title I funds.	<ul style="list-style-type: none"> <li>• Assurances from each LEA that receives Title I funds that the LEA has informed parents of their right to know.</li> <li>• Samples of LEA notifications to parents.</li> <li>• Evidence of monitoring.</li> <li>• Corrective action plans for LEAs found to be out-of compliance with the requirement to inform parents of their right to know.</li> </ul>

<b>I.7. The SEA ensures that all schools that receive Title I funds notify parents when their children are taught by teachers who are not highly qualified. §1111(h)(6)(B)(ii)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
Schools that receive Title I funds must provide parents with “timely notice that the parent's child has been assigned, or has been taught for four or more consecutive weeks by, a teacher who is not highly qualified.”	<ul style="list-style-type: none"> <li>• Assurances from each LEA that schools that receive Title I funds have informed parents when their children are taught by teachers who are not highly qualified.</li> <li>• Samples of school notifications to parents.</li> <li>• Evidence of monitoring.</li> <li>• Corrective action plans for LEAs with schools found to be out-of compliance with the requirement to inform parents when children are taught by teachers who are not highly qualified.</li> </ul>

I.8. What test(s) does the State require elementary teachers new to the profession to pass before they can be considered highly qualified?

I.9. What tests does the State use to allow secondary teachers to demonstrate subject matter competence in core content areas?

<b>Core Content Area §9101(11)</b>	<b>Test(s) Accepted by the State</b>
English	
Reading/Language Arts	
Mathematics	
Science	
Foreign Languages	
Civics and Government	
Economics	
Arts	
History	
Geography	

I.10. If the State is **currently** using “high objective, uniform State standard of evaluation” (HOUSSE) procedures to allow teachers who are not new to the profession to demonstrate subject area competence, answer the following questions:

Which teachers are eligible to use HOUSSE and under what circumstances?

Who does the State consider to be “not new to the profession”?

Does the State anticipate phasing out the use of HOUSSE in the future, and if so, when does the State expect that to occur? If the phase out will not extend to all teachers, who would still be able to use HOUSSE?

Attach copies of **ALL versions of HOUSSE currently in use** (or links to where they may be found on the Web). For each version of HOUSSE currently in use, provide the **date** on which it was adopted, and identify which teachers may use each version.

- I.11. If the State issues *any* licenses or certificates that it does not consider “full State certification,” provide a list of all such licenses (certificates or licenses not considered a full credential include, but are not limited to, temporary, emergency, and provisional credentials or permits, and waivers), and answer the following questions about them:

<b>Name of license or certificate</b>		
<b>Is the teacher holding it counted as highly qualified?</b>		
<b>Under what circumstances is it granted?</b>		
<b>Must the LEA request it from the SEA?</b>		
<b>How many teachers currently hold it?</b>		
<b>What percentage of core classes in the State do teachers holding it teach?</b>		
<b>Is it renewable? If so, how many times?</b>		
<b>For what length of time, in total, may a teacher hold it?</b>		
<b>What must teachers holding it do in order to attain full State certification?</b>		
<b>Are any teachers holding it enrolled in an approved alternative certification program?</b>		

## II. HQT Data Reporting and Verification

### A. Consolidated State Performance Report

<b>II.A.1. The SEA reports annually to the Secretary in the Consolidated Performance Report (CSPR) the number and percentage of classes taught by highly qualified teachers, in the aggregate and in high- and low-poverty schools. §1111(h)(4)(G)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<ul style="list-style-type: none"> <li>The number and percentage of core subject classes (including special education classes) in the State taught by highly qualified teachers</li> <li>HQT data disaggregated by high- and low-poverty schools</li> </ul>	<p>The SEA must provide evidence that the data included in its three most recent CSPR reports (Exhibits 1 and 2) are correct and complete and that they include information on all core academic subject classes, including those taught by special education teachers.</p> <p><b>If the State has updated, corrected data for either year, it should be submitted.</b></p>

Attached are the highly qualified teacher data your state submitted in the three most recent CSPR collections. Exhibit 1 displays the data for 2006-07 and Exhibit 2 presents the comparative data for 2004-05 through 2006-07.

II.A.2. If you have HQT data that are more recent than those submitted in the 2007 CSPR, please provide the most current data using the CSPR grids below. **If you are supplying updated data, please indicate the DATE of the new data.**

**NOTE: Any updated data that you include in this protocol cannot be considered officially submitted data. Official updates can be made only through EDEN.**

Date of new data: \_\_\_\_\_

Academic Year that the new data represents: \_\_\_\_\_

Table 1<sup>3</sup>:

School Type	Number of Core Academic Classes (Total)	Number of Core Academic Classes Taught by Teachers Who Are Highly Qualified	Percentage of Core Academic Classes Taught by Teachers Who Are Highly Qualified	Number of Core Academic Classes Taught by Teachers Who Are NOT Highly Qualified	Percentage of Core Academic Classes Taught by Teachers Who Are NOT Highly Qualified
All Schools					
<b>Elementary Level</b>					
High-Poverty Schools					
Low-Poverty Schools					
All Elementary Schools					
<b>Secondary Level</b>					
High-Poverty Schools					
Low-Poverty Schools					
All Secondary Schools					

<sup>3</sup> Separately rank order elementary and secondary schools from highest to lowest on your percent poverty measure. Divide the list into 4 equal groups. Schools in the first (highest group) are high-poverty schools. Schools in the last group (lowest group) are the low-poverty schools. Generally, states use the percentage of students who qualify for the free or reduced price lunch program for this calculation.

Table 2 (percentages should add to 100%--use the number of elementary core classes taught by teachers who are NOT highly qualified as the starting point for making calculations):

Reason For Elementary Teachers Being Classified as Not Highly Qualified	Percentage
a) Elementary school classes taught by certified general education teachers who did not pass a subject-knowledge test or (if eligible) have not demonstrated subject-matter competency through HOUSSE	
b) Elementary school classes taught by certified special education teachers who did not pass a subject-knowledge test or have not demonstrated subject-matter competency through HOUSSE	
c) Elementary school classes taught by teachers who are not fully certified (and are not in an approved alternative route program)	
d) Other (please explain)	

Table 3 (percentages should add to 100%--use the number of secondary core classes taught by teachers who are NOT highly qualified as the starting point for making calculations):

Reason For Secondary Teachers Not Being Classified as Not Highly Qualified	Percentage
a) Secondary school classes taught by certified general education teachers who have not demonstrated subject-matter knowledge in those subjects (e.g., out-of-field teachers)	
b) Secondary school classes taught by certified special education teachers who have not demonstrated subject-matter competency in those subjects	
c) Secondary school classes taught by teachers who are not fully certified (and are not in an approved alternative route program)	
d) Other (please explain)	

II.A.3. Which agency, the SEA or the LEA, determines the highly qualified status of teachers?

II.A.4. Describe the **reporting schedule** (timeline) for the collection of annual HQT data:

When does data collection occur?

If the data collection reflects a particular point in time, what is that point?

When does review and verification occur?

What is the final release date for the data?

II.A.5. How do LEAs report their HQT data to the State (e.g. online reporting web site, standardized template, paper file)?

II.A.6. Does the state have the capacity to link teacher assignment to HQT status of the teacher? If not, who makes this link?

II.A.7. What procedures does the SEA have in place to monitor and validate the quality and accuracy of the HQT data reported by LEAs? Do schools and/or LEAs have the opportunity to review and revise their data?

II.A.8. If someone other than the SEA maintains HOUSSE data (teacher, school, LEA), how are data indicating that a teacher has become HQT by meeting the HOUSSE criteria reported to the SEA? How does the SEA assure that HOUSSE data are accurate?

## B. Annual Report Cards

<b>II.B.1. The SEA has published an annual report card with the required teacher information. §1111(h)(1)(C)(viii)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<ul style="list-style-type: none"> <li>• The percentage of classes in the State <b>NOT</b> taught by highly qualified teachers</li> <li>• HQT data disaggregated by high- and low-poverty schools</li> <li>• Information on the qualifications of teachers</li> <li>• The percentage of teachers on emergency or provisional credentials</li> </ul>	<ul style="list-style-type: none"> <li>• Web link for where most recent State report card can be found on the Internet <b>OR</b></li> <li>• Hard copy of the most recent State Report Card</li> </ul>

<b>II.B.2. The SEA has ensured that LEAs have published annual report cards with the required teacher information for both the LEA and the schools it serves. §1111(h)(2)(B)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<ul style="list-style-type: none"> <li>• The percentage of classes <b>NOT</b> taught by highly qualified teachers</li> <li>• HQT data disaggregated by high- and low-poverty schools</li> <li>• Information on the qualifications of teachers</li> <li>• The percentage of teachers on emergency or provisional credentials</li> </ul>	<ul style="list-style-type: none"> <li>• Web link for where most recent LEA and school report cards can be found on the Internet <b>OR</b></li> <li>• Hard copies of the most recent LEA Report Cards from the LEAs participating in the monitoring visit, including teacher information for the schools in those LEAs</li> </ul>

II.B.3. Which of the methods listed below does the State use to disseminate the State Report Card to the public (check all that apply)?

- Internet  
 Making hard copies available  
 Newspaper  
 Other \_\_\_\_\_

II.B.4. What is the reporting and release schedule for the State report card?

II.B.5. Production of local report cards (answer **either** a or b):

- If the SEA produces LEA and school report cards, what is the reporting and release schedule for the LEA and school report cards?
- If local report cards are produced by LEAs, what guidance does the SEA provide to LEAs on how report cards should be developed and disseminated? How does the State monitor to ensure that the LEA report cards are correct and produced in a timely manner?

### III. HQT Plan

#### A. Plans for reaching the 100% HQT Goals

<b>III.A.1. The SEA ensures that each LEA that has not met annual measurable objectives for highly qualified teachers for two consecutive years has an improvement plan in place and that the SEA has provided technical assistance to the LEA in formulating the plan. §2141(a) and §2141(b)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<ul style="list-style-type: none"> <li>• If a State educational agency determines, based on the reports described in section 1119(b)(1), that a local educational agency in the State has failed to make progress toward meeting the annual measurable objectives described in section 1119(a)(2), for 2 consecutive years, such local educational agency shall develop an improvement plan that will enable the agency to meet such annual measurable objectives and that specifically addresses issues that prevented the agency from meeting such annual measurable objectives.</li> <li>• During the development of the improvement plan described in subsection (a) and throughout implementation of the plan, the State educational agency shall —               <ol style="list-style-type: none"> <li>(1) provide technical assistance to the local educational agency; and</li> <li>(2) provide technical assistance, if applicable, to schools served by the local educational agency that need assistance to enable the local educational agency to meet the annual measurable objectives described in section 1119(a)(2).</li> </ol> </li> </ul>	<ul style="list-style-type: none"> <li>• HQT data for LEAs that have not met the annual measurable objective for HQT, currently 100% HQT (see data chart below, III.A.1.a, for a sample format), indicating that the SEA has tracked LEA progress in meeting annual objectives for highly qualified teachers so that it knows to which LEAs technical assistance in planning must be provided.</li> <li>• Evidence of monitoring.</li> <li>• Completed improvement plans for LEAs that have not made the required progress.</li> <li>• Description of the technical assistance provided to LEAs and schools.</li> </ul>

III.A.1.a. Provide the data described below. The Department suggests a format, but if the State’s data system can provide the requested data in a different format, that format will be acceptable, as long as all the required information is included.

List all LEAs in the State that did not meet the annual measurable objective of having all core classes, including special education classes, taught by an HQT in the 2006-2005 school year. Also include information on the LEA’s HQT status in 2005-2006.

Name of LEA	Number of classes taught by teachers who are not highly qualified in 05-06	Percentage of classes taught teachers who are not highly qualified in 05-06	Number of classes taught by teachers who are not highly qualified in 06-07	Percentage of classes taught teachers who are not highly qualified in 06-07

<b>III.A.2. The SEA enters into an agreement on the use of funds with any LEA that has met its annual measurable objectives for highly qualified teachers for three consecutive years and has also failed to make AYP for three years. §2141(c)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>“After the third year of the plan described in section 1119(a)(2), if the State educational agency determines, based on the reports described in section 1119(b)(1), that the local educational agency has failed to make progress toward meeting the annual measurable objectives described in section 1119(a)(2), and has failed to make adequate yearly progress as described under section 1111(b)(2)(B), for 3 consecutive years, the State educational agency shall enter into an agreement with such local educational agency on the use of that agency's funds under this part.”</p>	<ul style="list-style-type: none"> <li>• Data for LEAs that are not making AYP and information on whether or not they have made their AMOs for HQT (see data chart below, III.A.2.a, for sample format), indicating that the SEA has tracked LEA progress in meeting annual objectives for HQT in conjunction with LEA AYP status so that it knows with which LEAs it must enter into a financial agreement.</li> <li>• Evidence of monitoring.</li> <li>• Completed agreement for LEAs that have not made the required progress.</li> <li>• Description of the how the SEA will direct the LEAs’ use of funds.</li> </ul>

III.A.2.a. Provide the data described below. The Department suggests a format, but if the State’s data system can provide the requested data in a different format, that format will be acceptable, as long as all the required information is included.

List all LEAs that are currently not making AYP, and provide information about those LEAs from previous school years.

Name of LEA	AYP status for 06-07	Percentage of classes taught by HQT in 06-07	AYP status for 05-06	Percentage of classes taught by HQT in 05-06	AYP status for 04-05	Percentage of classes taught by HQT in 04-05

III. A.3. List the core academic subjects and the percentage and number of classes in those subjects taught by non-HQT in the 2006-07 school year (If the State’s data system can provide the requested data in a different format, that format is acceptable, as long as all the required information is included.):

<b>Core Subject Area</b>	<b>Number of classes in that subject taught by teachers who are not highly qualified</b>	<b>Percentage of classes in that subject taught by teachers who are not highly qualified</b>

## B. Plans for the Equitable Distribution of Qualified, Experienced Teachers

<b>III.B.1. The SEA has a plan in place to ensure that poor and minority students are not taught at higher rates than other students by inexperienced, unqualified, or out-of-field teachers. §1111(b)(8)(C)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
Each SEA plan must include “steps that the State educational agency will take to ensure that poor and minority children are not taught at higher rates than other children by inexperienced, unqualified, or out-of-field teachers, and the measures that the State educational agency will use to evaluate and publicly report the progress of the State educational agency with respect to such steps.”	<ul style="list-style-type: none"> <li>• A copy of the most up-to-date version of the State’s equitable distribution plan. If the copy of the plan currently posted on the U.S. Department of Education’s web page—<a href="http://www.ed.gov/programs/teacherqual/hqtplans/index.html">http://www.ed.gov/programs/teacherqual/hqtplans/index.html</a>—is the most recent version available, it is not necessary to submit a new copy.</li> <li>• Evidence that the SEA is implementing the plan.</li> <li>• Evidence that the SEA is measuring progress on the whether or not the plan is working.</li> <li>• Evidence that the SEA reports publicly on progress of the plan.</li> </ul>

<b>III.B.2. The SEA ensures that LEA plans include an assurance that through the implementation of various strategies, poor and minority students are not taught at higher rates than other students by inexperienced, unqualified, or out-of-field teachers. §1112(c)(1)(L)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
Each LEA plan must include an assurance that the LEA will “ensure, through incentives for voluntary transfers, the provision of professional development, recruitment programs, or other effective strategies, that low-income students and minority students are not taught at higher rates than other students by unqualified, out-of-field, or inexperienced teachers.”	<ul style="list-style-type: none"> <li>• Evidence that the SEA requires this assurance as part of each LEA plan. If the LEA is permitted to submit a consolidated application, as per §9305 of the ESEA, of which this assurance is not a required part, the SEA should provide evidence that it ensures, in some other way, that the LEA is implementing appropriate strategies.</li> <li>• Evidence that the SEA ensures that each LEA is implementing the assurance and that the LEA knows whether or not the strategies it is employing to address the equitable distribution of teachers are effective.</li> <li>• Corrective action taken by the SEA if it determines that the strategies that the LEA is employing to address the equitable distribution of teachers are not effective.</li> </ul>

III.B.3. Indicators used by the SEA in formulating the equitable distribution plan:

<b>Plan element</b>	<b>Describe the indicator used by the SEA to measure the element</b>
Teacher experience	
Minority status of students	
Poverty status of students	

## IV. Administration of Title II, Part A

### A. LEA Applications for and Allocation of Title II, Part A Funds

<b>IV.A.1. Once hold harmless provisions are taken into consideration, the SEA allocated additional funds to LEAs using the most recent Census Bureau data found at <a href="http://www.census.gov/hhes/www/saipe/district.html">http://www.census.gov/hhes/www/saipe/district.html</a>. §2121(a)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>For any fiscal year for which the funds reserved by a State under section 2113(a)(1) exceed the total amount required to make allocations under paragraph (2), the State educational agency shall allocate to each of the eligible local educational agencies in the State the sum of —</p> <p>(A) an amount that bears the same relationship to 20 percent of the excess amount as the number of individuals age 5 through 17 in the geographic area served by the agency, as determined by the Secretary on the basis of the most recent satisfactory data, bears to the number of those individuals in the geographic areas served by all the local educational agencies in the State, as so determined; and</p> <p>(B) an amount that bears the same relationship to 80 percent of the excess amount as the number of individuals age 5 through 17 from families with incomes below the poverty line in the geographic area served by the agency, as determined by the Secretary on the basis of the most recent satisfactory data, bears to the number of those individuals in the geographic areas served by all the local educational agencies in the State, as so determined.</p>	<ul style="list-style-type: none"> <li>• Copy of the most recent data allocation spreadsheet that includes the poverty and population data used to determine the allocations.</li> <li>• If applicable, records that show how the SEA calculated awards to charter schools and to other LEAs for which Census Bureau data do not report poverty and population data.</li> </ul>

<b>IV.A.2. The SEA has ensured that LEAs have completed assessments of local needs for professional development. §2122(c)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>(1) IN GENERAL—To be eligible to receive a subgrant under this subpart, a local educational agency shall conduct an assessment of local needs for professional development and hiring, as identified by the local educational agency and school staff.</p> <p>(2) REQUIREMENTS- Such needs assessment shall be conducted with the involvement of teachers, including teachers participating in programs under part A of title I, and shall take into account the activities that need to be conducted in order to give teachers the means, including subject matter knowledge and teaching skills, and to give principals the instructional leadership skills to help teachers, to provide students with the opportunity to meet challenging State and local student academic achievement standards.</p>	<p>Documentation, from monitoring, that each LEA receiving funds</p> <ul style="list-style-type: none"> <li>• Conducted the needs assessment</li> <li>• Involved teachers in the needs assessment process</li> <li>• Ensured that the needs assessment appropriately addresses improving instruction to improve student achievement</li> </ul>

<b>IV.A.3. To be eligible for Title II, Part A funds, LEAs must “submit an application to the State educational agency at such time, in such manner, and containing such information as the State educational agency may reasonably require.” §2122(b)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
The SEA requires that LEAs submit an application for Title II, Part A funds that includes the required elements (See question V.A.3a).	<ul style="list-style-type: none"> <li>• Submit a blank copy of the form used for the Title II, Part A application. (See question IV.A.3.a. for additional information required about the application).</li> <li>• Submit completed copies of the application for each LEA that participates in the monitoring visit. <b>(LEA applications can be supplied on site—the SEA does not need to send them in advance.)</b></li> </ul> <p><b>Note: If LEAs submit consolidated local applications to the SEA, as allowed by §9305 of the ESEA, and the SEA has elected to omit some or all of the elements listed in §2122(b) from the consolidated application, please provide evidence that</b></p> <ul style="list-style-type: none"> <li>• <b>The SEA ensures that LEAs implement all provisions of §2122(b)</b></li> <li>• <b>The SEA has on file the LEA assurances required in §9306 of the ESEA</b></li> </ul>

IV.A.3.a. In the chart below, indicate where (include a page number) in the application materials submitted to satisfy IV.A.3, the following application requirements are addressed. If these requirements are addressed somewhere other than the official application for funds, please provide information and documentation, including page numbers, where applicable, on where and how the requirements are addressed.

<b>Application Requirement</b>	<b>How/Where the requirement is met</b>
That the application be based on the required needs assessment and a description of the results of the needs assessment.	
A description of the activities to be carried out and how they are aligned challenging State standards.	
A description of how the activities will be based on a review of scientifically based research and an explanation of why the activities are expected to improve student academic achievement.	
A description of how the activities will have a substantial, measurable, and positive impact on student academic achievement and how the activities will be used as part of a broader strategy to eliminate the achievement gap that separates low-income and minority students from other students.	
An assurance that the local educational agency will target funds to schools that have the lowest proportion of highly qualified teachers, the largest average class size, or are identified for school improvement.	

<b>Application Requirement</b>	<b>How/Where the requirement is met</b>
A description of how the LEA will coordinate professional development activities authorized under Title II, Part A with professional development activities provided through other Federal, State, and local programs.	
A description of the professional development activities that will be made available to teachers and principals under Title II, Part A and how the LEA will ensure that the professional development needs of teachers and principals will be met using Title II, Part A funds.	
A description of how the LEA will integrate funds under this subpart with funds received under part D that are used for professional development to train teachers to integrate technology into curricula and instruction to improve teaching, learning, and technology literacy.	
A description of how the LEA, teachers, paraprofessionals, principals, other relevant school personnel, and parents have collaborated in the planning of activities to be carried out under this subpart and in the preparation of the application.	
A description of how the LEA will provide training to enable teachers to teach and address the needs of students with different learning styles, particularly students with disabilities, students with special learning needs (including students who are gifted and talented), and students with limited English proficiency; improve student behavior in the classroom and identify early and appropriate interventions to help students learn; involve parents in their child's education; and understand and use data and assessments to improve classroom practice and student learning.	
A description of how the LEA will use Title II, Part A funds to meet the requirements of section 1119.	
An assurance that the LEA will comply with section 9501 regarding participation by private school teachers.	

IV.A.4. What steps does the SEA take if required information is absent from the application?

IV.A.5. Provide a timeline for how Title II, Part A funds are disbursed, from the time they become available to the end of the Tydings period. At minimum, the timeline should include the following dates:

- When the SEA notifies LEAs as to their annual allocation
- When applications, or other required annual information, if LEAs are not required to submit annual applications, are due
- When SEA staff review applications or other annual information
- When LEAs are notified whether or not their applications or other information are acceptable
- When LEAs must submit any required changes
- When funds are awarded to LEAs
- The end date by which the LEA must obligate funds (if the SEA requires LEAs to complete their obligations before the September 30 date by which the SEA must complete its obligations)
- The date by which the LEA must liquidate funds

**B. SEA Monitoring of LEA Activities under Title II, Part A**

<b>IV.B.1. The SEA has ensured that LEAs maintain effort. §9521</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>(a) IN GENERAL- A local educational agency may receive funds under a covered program for any fiscal year only if the State educational agency finds that either the combined fiscal effort per student or the aggregate expenditures of the agency and the State with respect to the provision of free public education by the agency for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year.</p> <p>(b) REDUCTION IN CASE OF FAILURE TO MEET-</p> <p>(1) IN GENERAL- The State educational agency shall reduce the amount of the allocation of funds under a covered program in any fiscal year in the exact proportion by which a local educational agency fails to meet the requirement of subsection (a) of this section by falling below 90 percent of both the combined fiscal effort per student and aggregate expenditures (using the measure most favorable to the local agency).</p> <p>(2) SPECIAL RULE- No such lesser amount shall be used for computing the effort required under subsection (a) of this section for subsequent years.</p>	<ul style="list-style-type: none"> <li>• Records showing that LEAs are maintaining effort</li> <li>• Documents showing that the SEA has made appropriate reductions in an LEA’s award where the LEA has failed to maintain effort</li> </ul>

<b>IV.B.2. The SEA ensures that LEA funds do not supplant other, non-Federal funds. §2123(b)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>Funds received under this subpart shall be used to supplement, and not supplant, non-Federal funds that would otherwise be used for activities authorized under this subpart.</p>	<ul style="list-style-type: none"> <li>• Written SEA guidance to LEAs on supplement not supplant requirements.</li> <li>• Evidence that questions from LEAs and schools regarding supplement not supplant issues have been adequately addressed.</li> <li>• Evidence that the SEA has monitored expenditures of LEAs to ensure that funds are used to supplement, and not supplant, State and local funds.</li> </ul>

<b>IV.B.3. The SEA and LEAs are audited, as required by EDGAR §80.26.</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>(a) Basic Rule. Grantees and subgrantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations." The audits shall be made by an independent auditor in accordance with generally accepted government auditing standards covering financial audits.</p> <p>(b) Subgrantees. States . . . that provide Federal awards to a subgrantee, which expends \$300,000 or more (or other amount as specified by OMB) in Federal awards in a fiscal year shall ensure that the subgrantees met their various audit responsibilities.</p>	<p>Evidence that the SEA is implementing its responsibilities for ensuring that LEAs audits occur as required by the Single Audit Act, and that any audit findings regarding Title II, Part A funds are timely and properly resolved.</p>

<b>IV.B.4. The SEA regularly and systematically monitors LEAs for compliance with Federal statutes and regulations, applicable State rules and policies, and the approved subgrantee application, as required by EDGAR §76.770 and §80.40(a).</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p><b>§76.770:</b> Each State shall have procedures for reviewing and approving applications for subgrants and amendments to those applications, for providing technical assistance, for evaluating projects, and for performing other administrative responsibilities the State has determined are necessary to ensure compliance with applicable statutes and regulations.</p> <p><b>§80.40(a):</b> Grantees are responsible for managing the day-to-day operations of grant and subgrant supported activities. Grantees must monitor grant and subgrant supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved.</p>	<ul style="list-style-type: none"> <li>• Monitoring plan</li> <li>• Instruments used for all types/methods of monitoring (e.g., on-site visits, desk monitoring)</li> <li>• Schedules for all types of monitoring (how often is each LEA subject to each type of monitoring?)</li> <li>• Records of completed monitoring in comparison to the monitoring schedule</li> <li>• Records indicating that monitoring findings are addressed through corrective action.</li> </ul>

<b>IV.B.5. The SEA ensures that LEAs comply with requirements with regards to services to eligible nonpublic schools. §9501</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
<p>The LEA "shall, after timely and meaningful consultation with appropriate private school officials provide to those children and their teachers or other educational personnel, on an equitable basis, special educational services or other benefits that address their needs under the program."</p>	<ul style="list-style-type: none"> <li>• SEA policies and procedures addressing the statutory requirements for the provision of services to teachers serving private schools students.</li> <li>• SEA guidance to the LEAs on equitable participation</li> <li>• SEA processes for allowing nonpublic school officials to file complaints.</li> <li>• SEA methods for ensuring that LEAs have properly consulted with non-public school officials during the design, development, and implementation of the LEA's professional development needs assessment</li> </ul>

- IV.B.6. What procedures does the SEA have in place to determine the amount of funds each LEA expended during the period of availability?
- IV.B.7. What procedures does the SEA have in place to regularly review the drawdowns of the LEAs?
- IV.B.8. What happens if the State finds that an LEA is making drawdowns improperly (excessive or insufficient drawdowns)?

## V. Title II, Part A State-Level Activities

ESEA Title II, Part A provides a variety of ways in which the SEA may use its State Activities funds to promote teacher quality. The State's use of funds should reflect decisions consistent with the Title II, Part A planning requirement in §2112.

<b>V.1. The SEA ensures that state level activity funds are expended on allowable activities. §2113(c)</b>		
<b>In the chart below, provide information on the FY 2006 and FY 2007 funding obligated in each category and briefly describe the activities that are being supported</b>		
<b>TITLE II, PART A STATE ACTIVITIES - FUNDING INFORMATION</b>	<b>FEDERAL FY 2006 Grant Number S367A0600XX</b>	<b>FEDERAL FY 2007 Grant Number S367A0700XX</b>
<b>Provide the funding amount obligated for the following activities. Estimate if you do not have exact figures. Provide a description of the spending.</b>	Title II, A funds obligated	Title II, A funds obligated
1. Reforming teacher and principal certification (including recertification) and licensure to ensure that teachers have the necessary subject-matter knowledge and teaching skills in subjects in which they teach, that certification or licensing requirements are aligned with challenging State academic content standards, and that principals have instructional leadership skills to help teachers teach and students learn.  <b>Description:</b>		
2. Providing support for teachers new and not new to the profession and for principals through such activities as mentoring, team teaching, reduced class schedules, intensive professional development, and using standards or assessments to guide beginning teachers.  <b>Description:</b>		
3. Carrying out programs to establish, expand, or improve alternative routes for State certification for teachers and principals (especially in the areas of mathematics and science) that will encourage entry into the teaching profession for highly qualified individuals with at least a baccalaureate degree, including mid-career professionals, military personnel, paraprofessionals, and recent college graduates with records of academic distinction.  <b>Description:</b>		
4. Developing and implementing effective mechanisms for helping LEAs and schools to recruit and retain highly qualified teachers, principals, and pupil services personnel.  <b>Description:</b>		
5. Reforming tenure systems, implementing teacher testing for subject-matter knowledge, and implementing teacher testing for State certification or licensure, consistent with <i>Title II</i> of the Higher Education Act (HEA).  <b>Description:</b>		
6. Providing professional development for teachers and principals (and for pupil services personnel when the SEA determines their participation to be appropriate).  <b>Description:</b>		

<p>7. Developing systems to measure the effectiveness of specific professional development programs and activities in order to document gains in student academic achievement or increases in teacher mastery of academic subjects teachers teach.</p> <p><b>Description:</b></p>		
<p>8. Fulfilling the SEA's responsibilities for proper and efficient administration of <i>Title II, Part A</i>, including provision of technical assistance to LEAs. (This figure should include ONLY administrative costs paid for out of State-level activity funds, not those paid for with funds set aside by statute for administrative purposes.)</p> <p><b>Description:</b></p>		
<p>9. Funding projects to promote interstate certification or licensing reciprocity for teachers and principals, provided that the reciprocity agreement does not lead to a weakening of State certification or licensing requirements.</p> <p><b>Description:</b></p>		
<p>10. Developing or assisting LEAs in the development of proven, innovative strategies to deliver intensive professional development activities that are both cost-effective and easily accessible, such as strategies that involve delivery through the use of technology, peer networks, and distance learning.</p> <p><b>Description:</b></p>		
<p>11. Supporting the training of teachers and administrators in effectively integrating technology into curricula and instruction.</p> <p><b>Description:</b></p>		
<p>12. Developing, or assisting LEAs in developing, merit-based performance systems and strategies that provide differential and bonus pay for teachers in high-need academic subjects and for teachers in high-poverty areas.</p> <p><b>Description:</b></p>		
<p>13. Assisting LEAs in developing and implementing professional development programs for principals that enable them to be effective school leaders and to prepare all students to meet challenging State content and student academic achievement standards, which may include the development and support of school leadership academies.</p> <p><b>Description:</b></p>		
<p>14. Developing, or assisting LEAs in developing, teacher advancement initiatives that promote professional growth and that emphasize multiple career paths and pay differentiation.</p> <p><b>Description:</b></p>		
<p>15. Providing assistance to teachers to enable them to meet certification, licensing, or other requirements in order to become highly qualified.</p> <p><b>Description:</b></p>		
<p>16. Supporting activities to ensure that teachers are able to use State academic content and achievement standards and State assessments to improve instructional practices and student academic achievement.</p> <p><b>Description:</b></p>		

17. Funding projects and carrying out programs to encourage men to become elementary school teachers. <b>Description:</b>		
18. Establishing and operating a center that serves as a statewide clearinghouse for the recruitment and placement of K-12 teachers and establishes and carries out programs to improve teacher recruitment. <b>Description:</b>		
<b>A. Total funds Obligated (Sum of lines 1-18):</b>		
<b>B. Total Funds Allocated for the FY (“State activities” amount from Page 1 of protocol)</b>		
<b>C. Carryover from Previous year</b>		
<b>D. Total funds available (Line B + Line C)</b>		
<b>E. Difference between available and Obligated funds (Line D – Line A)</b>		

<b>V.2. The SEA ensures that state level activity funds do not supplant other, non-Federal funds. §2113(f)</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
Funds received under this subpart shall be used to supplement, and not supplant, non-Federal funds that would otherwise be used for activities authorized under this subpart.	Evidence that the SEA has examined Title II, Part A State-level activity expenditures to ensure that funds are used to supplement, and not supplant, other non-Federal funds.

<b>V.3. The SEA complies with requirements with regards to services to eligible nonpublic schools using State-level activity funds. §9501</b>	
<i>Requirement</i>	<i>Evidence/Documentation Required</i>
The SEA “shall, after timely and meaningful consultation with appropriate private school officials provide to those children and their teachers or other educational personnel, on an equitable basis, special educational services or other benefits that address their needs under the program.”	<ul style="list-style-type: none"> <li>• SEA policies and procedures addressing the statutory requirements for the provision of services, from State-level activity funds, to teachers serving private schools students.</li> <li>• SEA processes for allowing nonpublic school officials to file complaints.</li> <li>• SEA methods for ensuring that it has properly consulted with non-public school officials as to the needs of private school teachers in the State.</li> </ul>