

On-Site Compliance Audit Checklist
Title I, Part A: SES Individual Student Agreements

District: _____

Reviewer: _____

Student ID: _____

Date: _____

Legislation/Regulation Authority:

Section 1116(e)(3) of the ESEA requires an LEA who enters into a contract with an SES provider to develop individual student agreements.

Section 443 of the General Education Provisions Act (GEPA) requires each recipient of federal funds, such as an LEA, to keep records which fully disclose the amount and disposition of the funds, the total costs of the activity for which the funds were used...and such other records as will facilitate an effective financial and programmatic audit.

Intent of the Legislation/Regulation:

To ensure SES services are individually planned and documented based on the needs of the participating students.

Focus of Review:

To ensure LEAs ensure proper oversight of 3rd party providers that are providing SES services to students in participating Title I schools.

Method of Assessment: (Check all that apply)

- Document Review
- Observation
- Interview

Location of Audit: (Check all that apply)

- LEA Office..... Excludes Charters
- Elementary School..... Excludes Charters
- Middle School Excludes Charters
- High School..... Excludes Charters
- Other Agency

Over the past three years, what guidance, technical assistance, and/or professional development has been offered to the districts and charters regarding this regulation?

Regional Title I technical assistance sessions and guidance documents

Required LEA Compliance Items of Title I, Part A SES Individual Student Agreements	Check in 2011 2012	Evidence	Compliance			Comments/Corrective Action	Corrective Action Due Date
			Yes	No	N/A		
Individual Student Agreement outlines specific achievement goals	Yes	Provisions included in student agreements					
Individual Student Agreement describes how the student's progress will be measured	Yes	Provisions included in student agreements					
Individual Student Agreement outlines how and when the student's progress will be communicated to parents and teachers	Yes	Provisions included in student agreements					
Individual Student Agreement includes a timetable for improving achievement.	Yes	Provisions included in student agreements					
Individual Student Agreement was prepared by the LEA in consultation with parents and the provider chosen by the parents.	Yes	Signatures on agreement (note: if parent signature not present, LEA has evidence of attempts to include the parent in the development of the agreement)					