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| **Alabama State Department of Education** |
| **Required Checklist #1** |
| **<Insert LEA>** |

**Common Compliance Required Documents**

**Upload into Component 1.1:**

[ ]  Accounting and Financial Manual

***Must include at a minimum the following: Accounting Practices, Budgeting Process, Allowability Guidelines, Cash Management System or Procedure, and Internal Controls.***

**Upload into Component 1.15:**

[ ]  Coordination of Resources for each school within the LEA

[ ]  Units Flex Form for each school within the LEA (if applicable)

[ ]  Gross Employee Salary Report (Excel File)

**Upload into Component 2.1:**

[ ]  Time and Effort Policy and/or Procedures

**Upload into Component 2.2:**

[ ]  Internal Control Procedures for Compensation

***Must include at a minimum the following: Verification of Time, Verification of Attendance, Process for Issuing Checks, Termination of Employees, Segregation of Duties, and Reconciliation Process.***

**Upload into Component 3.1:**

[ ]  Equipment Management and Control Policy and/or Procedures

***Must include at a minimum the following: Timeline and process from purchase order to final placement at the LEA, Disposal process including items that are lost, stolen, obsolete, or damaged, Safeguarding and ensuring authorized use of equipment, Physical inventory process conducted yearly, and Inventory records including all required components.***

**Upload into Component 3.4:**

[ ]  Evidence of Physical Inventory conducted within the past 12 months

**Upload into Component 4.2:**

[ ]  Evidence that the LEA provides district level support to all local schools benefiting from federal funds

***EXAMPLES: Technical Assistance Agenda(s), Technical Assistance Sign-In Sheet(s), Technical Assistance Emails, etc.***

**Upload into Component 4.3:**

***NOTE: All uploaded information must address all COVID Relief funds (ESSER I | ESSER II | ARP ESSER | GEER I)***

[ ]  Evidence that the LEA evaluates all COVID Relief funds for effectiveness

***EXAMPLES: Written Evaluation, Picture(s) of Implementation, Needs Assessment, Revision of Plan Documents, etc.***

[ ]  Evidence that the LEA receives internal and external stakeholder feedback for all COVID Relief funds

***EXAMPLES: Survey and Survey Results, Stakeholder Feedback Meeting Agenda(s) and Sign-In Sheet(s), LEA Statement, etc.***

[ ]  Links to all COVID Relief applications

[ ]  Link to Return-to-Instruction Plan

***NOTE: Plan must be revised within past 6 months from feedback from internal and external stakeholders and include the revision date.***

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| **Alabama State Department of Education** |
| **Required Checklist #1** |

**Upload into Component 5.1:**

[ ]  Board Approved Policy

***Must include the immediate enrollment without barriers for English Learners, Foster Care, Homeless, Immigrant, and Migrant Students.***

**Upload into Component 5.2:**

[ ]  Paper Enrollment Method – Copy of Paper Enrollment Packet **OR**

Electronic Enrollment Method – Link to Electronic Enrollment Packet

 ***NOTE: Enrollment packet submission must include English and one additional language based on student population.***

[ ]  Agenda(s) for Registrar Training for Enrollment of Special Subgroups

[ ]  Sign-In Sheet(s) for Registrar Training for Enrollment of Special Subgroups

**Upload into Component 6.1:**

[ ]  Internal Control Policies and/or Procedures

**Upload into Component 6.2:**

[ ]  Record Retention Policy

**Upload into Component 6.3:**

[ ]  Most Recent Single Audit Report

[ ]  Most Recent Annual Financial Audit Report

[ ]  Corrective Action Plan(s) for all Audit Reports (if applicable)

**Upload into Component 7.1:**

[ ]  Procurement Policy and/or Procedures

**Upload into Component 7.2:**

[ ]  Evidence of Oversight of Contracts and Competitive/Non-Competitive Procurement

***EXAMPLES: Purchase Order(s), Invoice(s), Paid Receipt(s), Request for Proposal(s), Estimate(s), Evidence of Oversight, etc.***

**Upload into Component 7.5:**

[ ]  Cost/Price Analysis Documentation

**Upload into Component 7.6:**

[ ]  Evidence showing compliance with Components 7.6 thru 7.9

***EXAMPLES: Purchase Order(s), Invoice(s), Paid Receipt(s), Request for Proposal(s), Estimate(s), etc.***

**Upload into Component 7.10:**

[ ]  Conflict of Interest Policy for Charter School Organizations

**Upload into Component 7.11:**

[ ]  Conflict of Interest Policy

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| **Alabama State Department of Education** |
| **Required Checklist #2** |
| **<Insert LEA>** |

**Title I, Part A Required Documents**

**Upload into Component 1.2:**

[ ]  List of Student Languages within the LEA

***NOTE: The list is required to be in rank order with the most common language at the top.***

**Upload into Component 1.3:**

[ ]  Home Language Surveys from Permanent Files and/or Electronic Files

***NOTE: Samples must include multiple schools (grade spans) and grades at each school.***

**Upload into Component 1.4:**

[ ]  ACCESS 2.0 for ELLs Results from Permanent Files and/or Electronic Files

***NOTE: Samples must include multiple schools (grade spans) and grades at each school.***

**Upload into Component 1.5:**

[ ]  EL Assessment Policies and Procedures

**Upload into Component 1.6:**

[ ]  Parent Notification Letters

**Upload into Component 1.7:**

[ ]  Advertisement(s) of meeting(s) and event(s)

[ ]  Evidence of outreach to parents of EL students

***EXAMPLES: Emails, Phone Logs, Flyers, Social Media Posts, etc.***

**Upload into Component 2.2:**

[ ]  Parent/Stakeholder Advisory Committee Agenda(s)

[ ]  Parent/Stakeholder Advisory Committee Sign-In Sheet(s)

[ ]  Parent/Stakeholder Advisory Committee Advertisement(s)

[ ]  Parent/Stakeholder Advisory Committee Feedback

**Upload into Component 2.3:**

[ ]  Parental Involvement Policy from each school

[ ]  School-Parent Compact from each school

[ ]  Evidence that all stakeholders (School, Student, and Parent) have signed the Compact

**Upload into Component 2.4:**

[ ]  School Calendar showing flexibility in meeting(s)/event(s) **OR**

 Agenda(s) showing flexibility in meeting(s)/event(s)

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| **Alabama State Department of Education** |
| **Required Checklist #2** |

**Upload into Component 2.10:**

[ ]  Right-to-Know Letter

[ ]  Evidence that Parents were notified about the Right-to-Know

***EXAMPLES: Dissemination Statement on Letterhead, Picture(s), Emails, Phone Logs, Flyers, Social Media Posts, etc.***

[ ]  4-Week Teacher Notification Letter

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| **Alabama State Department of Education** |
| **Required Checklist #3** |
| **<Insert LEA>** |

**Title I, Part A Preschool Required Documents**

**Upload into Component 1.3:**

[ ]  List of Standards used for the Title I, Part A Preschool Program

**Upload into Component 1.4:**

[ ]  Rank Order Spreadsheet (only if a random selection process is used) **OR**

Statement on letterhead stating that no random selection process was needed

**Upload into Component 1.5:**

[ ]  Advertisement(s) provided to parents about enrolling in the Title I, Part A Preschool Program

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| **Alabama State Department of Education** |
| **Required Checklist #4** |
| **<Insert LEA>** |

**Title I, Part C (Migrant) Required Documents**

**Upload into Component 2.3:**

[ ]  Timeline for Service Eligibility of Migrant Students

***Possible Points for Timeline: Parent Employment Survey, Certificate of Eligibility, Enrollment or Withdrawal of Student, etc.***

**Upload into Component 2.4:**

[ ]  Procedures for Intrastate (In-State) and Interstate (Out-of-State) Migrant Student Record Transfer(s)

**Upload into Component 2.5:**

[ ]  Checklist of Criteria used for Priority for Service

**Upload into Component 2.6:**

[ ]  Professional Development Agenda(s)

[ ]  Professional Development Schedule(s)

**Upload into Component 2.7:**

[ ]  Parent Advisory Committee Agenda(s)

[ ]  Parent Advisory Committee Sign-In Sheet(s)

[ ]  Parent Advisory Committee Advertisement(s)

**Upload into Component 2.8:**

[ ]  Migrant Student Recruitment Procedures

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| **Alabama State Department of Education** |
| **Required Checklist #5** |
| **<Insert LEA>** |

**Title I, Part D Required Documents**

**Upload into Component 1.1:**

[ ]  N/A for LEAs that only operate an alternative school program **OR**

LEAs must submit the following documentation:

[ ]  Communication evidence between Facility and the LEA

***EXAMPLES of COMMUNICATION TYPES: Newsletters, Flyers, Letters, Emails, Social Media, Phone Logs, Transportation Logs, etc.***

***EXAMPLES of TOPICS: Special Education, Parental Support, Academic/Curricular Needs, Professional Development, etc.***

***NOTE: Communication evidence for exited students must continue for agreed upon period of time.***

[ ]  Evidence of Transition Assistance

***EXAMPLES: Tutoring Logs for Testing Assistance, Drop Out Prevention Programs, Social Skills Training, etc.***

[ ]  Professional Development Agenda(s)

[ ]  Lesson Plans (including standards) used to support N or D students

[ ]  List of parent involvement activities or resources made available to parents

[ ]  List of local, State, and other Federal funds used to provide services to N or D students

**Upload into Component 1.2:**

[ ]  List of current traditional and supportive services used to support N or D students

***EXAMPLES of SERVICES: Mental Health, Social Services, Academic Services, etc.***

[ ]  Evidence to support list of services used with N or D students

***EXAMPLES: Partnership Agreements, Expenditure Report(s), Pre/Post-Test Results, etc.***

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| **Alabama State Department of Education** |
| **Required Checklist #6** |
| **<Insert LEA>** |

**Title III, Part A Required Documents**

**Upload into Component 1.6:**

[ ]  Sign-In Sheet(s) for LEA EL Training

***NOTE: Must have evidence for all employees hired by the LEA.***

[ ]  Agenda(s) for LEA EL Training

**Upload into Component 1.7:**

[ ]  Parent Advisory Committee Agenda(s)

[ ]  Parent Advisory Committee Sign-In Sheet(s)

[ ]  Parent Advisory Committee Advertisement(s)

**Upload into Component 1.8:**

[ ]  List of EL Standards used by the LEA

**Upload into Component 1.9:**

[ ]  Student Data Privacy Procedures

**Upload into Component 1.10:**

[ ]  Evidence of Least Restrictive Environment for EL Students (must include location)

***EXAMPLES: Completed I-ELPs, Schedule for Students and Teachers, etc.***

[ ]  List of EL students who are in Special Education, Gifted, and in AP Classes

**Upload into Component 1.11:**

[ ]  EL Program Exit Form

[ ]  EL Monitoring Form for Exited Students

[ ]  Completed Examples of Exit and Monitoring Forms

**Upload into Component 2.4:**

[ ]  Title III Supplemental Services Waiver Form

[ ]  Completed Examples of the Title III Supplemental Services Waiver Form

**Upload into Component 3.2:**

[ ]  Student Data Collection Procedures

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| **Alabama State Department of Education** |
| **Required Checklist #7** |
| **<Insert LEA>** |

**McKinney-Vento Program Required Documents**

**Upload into Component 1.4:**

[ ]  Procedures for Homeless Students

***NOTE: Must include identification, enrollment, and data reporting procedures.***

**Upload into Component 1.5:**

[ ]  Sign-In Sheet(s) for Registrar/Registration Training for Homeless Students

[ ]  Agenda(s) for Registrar/Registration Training for Homeless Students

[ ]  Community Advertisement(s) or Parent Outreach Evidence for Homeless Student Enrollment

**Upload into Component 1.6:**

[ ]  List of Served Homeless Students

**Upload into Component 1.7:**

[ ]  Homeless Dispute Resolution Policy

[ ]  Sample Letter of Explanation to Communicate Enrollment Decisions

***NOTE: A form letter or redacted letter providing the enrollment decision.***

**Upload into Component 1.8:**

[ ]  Procedures for Access to Services for Homeless Students

***NOTE: The procedures must include preschool age children.***

**Upload into Component 1.9:**

[ ]  List of Collaborative Efforts with Local Agencies

**Upload into Component 1.10:**

[ ]  Procedures for Unaccompanied Youth Homeless Students

***NOTE: Must include identification and enrollment.***

**Upload into Component 1.11:**

[ ]  Homeless Transportation Procedures

[ ]  Transportation Support Document(s)

***EXAMPLE: Excel Spreadsheet tracking supports, etc.***

**Upload into Component 1.12:**

[ ]  Procedures for Intrastate (In-State) and Interstate (Out-of-State) Homeless Student Record Transfer(s)

***NOTE: The procedures must include preschool age children.***

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| **Alabama State Department of Education** |
| **Required Checklist #7** |

**Upload into Component 1.13:**

[ ]  Sign-In Sheet(s) for LEA Homeless Training

***NOTE: Must have evidence for all employees hired by the LEA.***

[ ]  Agenda(s) for LEA Homeless Training

**Upload into Component 1.14:**

[ ]  Homeless Education Flyers

[ ]  Dissemination Procedures for Homeless Education Information

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| **Alabama State Department of Education** |
| **Required Checklist #8** |
| **<Insert LEA>** |

**Equitable Services Required Documents**

**Upload into Component 1.1:**

[ ]  Intent to Participate Forms for ALL eligible non-public schools **OR**

 Contact Logs for ALL eligible non-public schools where Intent to Participate Forms are not available

***NOTE: Contact Log must show a minimum of 3 attempts through 2 different methods***

**Upload into Component 2.1:**

[ ]  Evidence showing initial consultation meeting with all participating non-public schools

***EXAMPLES: Consultation Meeting Agenda(s), Consultation Meeting Sign-In Sheet(s), Calendar Invitation(s), Meeting Notes, etc.***

**Upload into Component 2.2:**

[ ]  Evidence showing the method used to calculate poverty data at all participating non-public schools

***EXAMPLES: Proportionality Worksheet, Free and Reduce Lunch Information, LEA Created Survey Results, etc.***

**Upload into Component 2.3:**

[ ]  Multiple Selection Criteria

[ ]  Rank Order Spreadsheet

[ ]  Exit Criteria

**Upload into Component 2.7:**

[ ]  Equitable Services Evaluation for all applicable fund source(s) at all participating non-public schools

**Upload into Component 2.8:**

[ ]  Evidence showing ongoing consultation and monitoring with all participating non-public schools

***EXAMPLES: Agenda(s), Sign-In Sheet(s), Calendar Invitation(s), Meeting Notes, Meeting Minutes, Emails, Phone Logs, etc.***

**Upload into Component 2.9:**

[ ]  Procedures for Equitable Services to non-public schools

***Must include at a minimum the following: Control of Funds, Control of Inventory, Expenditure Process, Consultation Process, Monitoring Process, Secular/Neutral/Non-Ideological Process, and the Inventory Procedures including all components in 2.11.***

**Upload into Component 2.12:**

[ ]  Evidence showing equitable services being provided to all participating non-public schools through the LEA or third-party contractor

***EXAMPLES: Tutoring Log(s), Invoice(s), Purchase Order(s), Contract(s), Service Agreement(s), Payroll Report(s), Expenditure Detail Report(s), etc.***