



ARIZONA DEPARTMENT OF
EDUCATION

Fiscal Year 2026 Elementary and Secondary Education Act Programmatic Monitoring Guidance Handbook

Academic Achievement Unit
Arizona Department of Education

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ESEA Programmatic Monitoring Guidance Handbook Purpose

The Arizona Department of Education (ADE), Academic Achievement ESEA Team has collaboratively developed this guidance document to provide Local Education Agencies (LEAs) a list of requirements for certain Federal ESEA programs. LEAs are encouraged to review this handbook and use it as a tool to maintain compliance with federal statutes.

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Acronyms List

ADE—Arizona Department of Education
AASA—Arizona’s Academic Standards Assessment
CAP—Corrective Action Plan
CNA—Comprehensive Needs Assessment
EL—English Learner
EMAC—Educational Monitoring Assistance and Compliance
ESEA—Elementary and Secondary Education Act
ESSA—Every Student Succeeds Act
GME—Grants Management Enterprise
GSA—General Statement of Assurances
HCY—Homeless Children and Youth
IAP—Integrated Action Plan
LEA—Local Education Agency
LIAP — (Local Educational Agency Integrated Action Plan)
MR—Main Requirement
N and D—Neglected and Delinquent
RLIS—Rural and Low-Income School
SEA—State Education Agency
TIA—Teacher Input Application
UHY—Unaccompanied Homeless Youth
USDOE—United States Department of Education

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ESEA Programmatic Monitoring Introduction

Programmatic monitoring is an essential function of the Arizona Department of Education's Academic Achievement Unit. The Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA) in December 2015, requires State Educational Agencies (SEAs) to monitor LEAs that accept ESEA grant funds. The purpose of ESEA grant funds is to provide all children with significant opportunities to receive a fair, equitable, and high-quality education, and to close educational achievement gaps.

The overarching objectives of the Arizona Department of Education's ESEA Programmatic Monitoring are to ensure the following:

- All LEAs that accept Title I-A, Title I-D, Title II-A, Title III-A, or RLIS funds know, understand, and maintain compliance with all statutory requirements,
- Timely and relevant feedback to LEAs on the implementation of policies and procedures aligned with statutory requirements, and maximize the LEAs' effectiveness in empowering parents and raising academic outcomes for all students, and
- All required evidentiary elements and the process through which compliance is determined are clearly defined and grounded in statute.

The *ESEA Programmatic Monitoring Guidance Handbook* has been developed to support LEAs receiving ESEA funding to ensure compliance and effectiveness. This handbook is not an all-inclusive list of documentation or evidence needed to comply with all Federal, State, and local mandates. Therefore, the LEA is responsible for maintaining compliance with all Federal, State, and local laws. The evidence for Programmatic Monitoring was determined using statutory requirements. A total of 15 main requirements were identified. FY26 incorporates 11 of these 15 main requirements. Each requirement has been formulated into data collection and evaluation tasks taking into consideration the LEA's current procedures, policies, and best practices, knowing there may be some modifications that may be needed by LEAs to ensure compliance with the statutory requirements.

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Main Requirement Number and Verbiage

1	The LEA must develop, review, and revise a plan to utilize ESEA funding in consultation with stakeholders and in coordination with other programs.	9	Not Applicable Fiscal Year 2026 (FY26)
2	The LEA plan to utilize ESEA funding must include descriptions of how the LEA intends to fulfill the requirements of each ESEA funding source.	10	Each LEA shall maintain a written parent and family engagement policy that is jointly developed, agreed upon, and distributed to parents and family members of students participating in Title I programs or services.
3	The LEA has transition plans for applicable groups served by the LEA, including program-to-program.	11	School/site level plan for building capacity for parental involvement, including how to understand and monitor students' academic achievement and performance, training and materials for parents to work with their children on academics, channels of communication, and a School-Parent Compact which lead to supporting children's academic success.
4	Not Applicable Fiscal Year 2026 (FY26)	12	The LEA provides training and support to build the capacity of parents and families to support their students.
5	The LEA complies with all assigned parts of the McKinney-Vento Homeless Assistance Act	13	Professional development is provided to staff, ensuring topics align with the needs of students, including mandatory trainings.
6	LEAs with Title I-A funded preschool programs will adhere to consultation, programming, and/or planning requirements.	14	The LEA has a staff evaluation and support procedure that is based on comprehensive needs assessment and data analysis which includes retention and recruitment of effective teachers.
7	The LEA will provide all mandatory parent's rights to information and/or notices in a timely manner, and in a format and language that is understood by parents.	15	Not Applicable Fiscal Year 2026 (FY26)
8	Not Applicable Fiscal Year 2026 (FY26)		

Note: LEAs are responsible for locally maintaining the sources of documentation used to provide evidence of compliance for a minimum of 7 years. For further information about records maintenance, visit the Arizona State Library, Archives, and Public Records ([here](#)). Documentation must be promptly available at the request of the Arizona Department of Education, U.S. Department of Education, and members of the public, when applicable.

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ESEA Programmatic Monitoring Process

Each of the 15 Main Requirements (MRs) have been assigned to one of four cycles. Main Requirement 5 has been assigned to all 4 cycles. FY26 consists of only 11 of the 15 Main Requirements as shown below.

Cycles	Main Requirement Number
Cycle 1	3, 5, 6, 11
Cycle 2	2, 5, 7
Cycle 3	5, 12, 14
Cycle 4	1, 5, 10, 13

During the assigned cycle, ADE will monitor the LEA for compliance with Federal and State mandates and effectiveness in the use of ESEA funds, based on the evidence provided. In each cycle, LEAs will be assigned a desktop review. On-Site monitoring will consist of all Main requirements across all Cycles (11 total FY26). All LEAs will be required to complete all Required Data Collection Tasks in their assigned cycle. LEAs have been chosen for on-site visits based on a needs analysis, that included the risk assessment level assigned to the LEA by Grants Management, previous audit findings, LEAs on corrective action, needs of federal programs staff, staff turnover, or at the request of the LEA.

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Timeline for the FY26 ESEA Programmatic On-Site Visit

On-Site Visit: Please visit the Federal Monitoring webpage to determine if your LEA has been selected for an on-site monitoring visit ([ESEA Programmatic Monitoring & Compliance | Arizona Department of Education](#)).

21 days prior to site visit	14 days prior to site visit	7 days prior to site visit	On-Site Visit	7 days after On-Site Visit	30 days after Feedback and Evaluation (as Needed)
LEA submits required evidence in EMAC for all cycles.	ADE sends specific requests for On-Site visits i.e. interviews, documents, and additional evidence.	LEA submits site visit schedule based on requests from ADE.		ADE and LEA have virtual feedback meeting including evaluation.	LEA submits Corrective Action Plan (only if necessary).

Evaluation, Feedback, and Next Steps

ADE staff will evaluate data collection tasks in EMAC and submissions to other platforms used by ADE for compliance and effectiveness. It is important that all submissions and responses submitted to data collection tasks are accurate. The correct responses are those that represent the current circumstances at the LEA; this allows ADE to truly identify topics that need additional technical assistance to support LEAs in making progress towards increased student achievement. The evaluation process will provide the opportunity to showcase LEAs through the collection of best practices and exemplary activities to share that helpful in maintaining compliance and/or effective in meeting the goals of ESEA funding sources. Additional information may be requested to provide a fair evaluation; failure to do so may result in the LEA being placed on programmatic hold until the issue is resolved.

Based on the evaluation of data collection tasks and, where applicable, the on-site visit, ADE will provide feedback to the LEA.

Next Steps for an LEA will be determined based on ADE's evaluation of the data collection tasks. Demonstrating compliance with all applicable Main Requirements of ESEA statute is the responsibility of the LEA. If an LEA is unable to demonstrate compliance with appropriate evidence, they will be placed in corrective action. The LEA will have 30 days to create a Corrective Action Plan (CAP) that addresses each area of non-compliance noted by ADE, receive board approval, and upload the CAP to the required platform. Failure to complete this action may result in the LEA being placed on programmatic hold.

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Data Collection Tasks in Educational Monitoring Assistance and Compliance (EMAC)

ESEA Programmatic Monitoring utilizes multiple types of data collection tasks. Rubrics are also provided for data collection tasks where applicable.

Educational Monitoring Assistance and Compliance (EMAC) is the application platform used to track the progress of state and federal monitoring requirements. It is highly recommended that all documents are submitted in PDF format for accessibility and readability; not submitting a PDF could require more evidence submissions.

IMPORTANT NOTE: With different users responsible for completing the data collection task in EMAC, the different representatives will want to ensure they are saving their information and only submitting the task once both required representatives have completed each of their tasks.

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Main Requirements	Statutory Citations
A general description of the requirements of statute	The legal citations for the requirement.
Required Evidence as Aligned within EMAC	Supporting Resources
Note: This is not an all-inclusive list of required evidence to comply with all Federal, State, and local mandates. Therefore, the LEA is responsible for maintaining compliance with all Federal, State, and local laws regarding ESEA funding. • Evidence that may be submitted • Evidence that could be used to demonstrate compliance • All Required Evidence MUST adhere to General Documentation Standards Title XX-A: Specific content that is to be included, in addition to the Required Contents, if the LEA utilizes this funding source.	Note: Each requirement has been formulated taking into consideration the LEA's current procedures, policies, and best practices allowing LEAs autonomy and options for evidence submission. • File/Website for more information • Assistance Documents

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General Documentation Standards

- Documentation may be in the preferred format the LEA selects provided it includes the required elements.
- Documentation submitted must have any Personal Identifying Information (PII) redacted
- Documentation Evidence: To sustain compliance, each type of evidence document must include at least the following:
- Distribution and/or a Posting:
 - Date and method of distribution or location of posting
 - Intended audience of distribution or posting
 - Identification of specific LEA or school site (letterhead, of logo, name, and contact information of site)
 - If required, signature of LEA Authorized Representative
 - Screenshot, if posting virtually
- Meeting, Activity and/or Event:
 - Advance notices (using Distribution standards above)
 - Sign In sheets (must include name of activity/event, date and time, participant information)
 - Agenda
 - Meeting Minutes, indicating list of decisions made
 - Presentation and/or materials used for activity or event, including shared data
- Communication
 - Date(s)
 - Titles of Individuals involved in communication
 - Text of communication
- Saving Documentation Evidence
 - Naming Standards: Cycle Number 2026 - Name of Evidence Document-Exact name of LEA (i.e. Cycle 3 Schoolwide Program Evaluation Procedure ABC Arts School)
 - Must be less than 10MB in size
 - Preferred format: PDF
 - Acceptable formats: Microsoft Word, Microsoft Excel, GIF, JPEG, or PNG

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ESEA Main Requirements for Monitoring

(*Note: MR 4,8,9,15 are not active/required in FY26)

Main Requirement 1	Statutory Citations
The LEA must develop, review, and revise a plan to utilize ESEA funding in consultation with stakeholders and in coordination with other programs.	20 U.S.C. 6312 § 1112 20 U.S.C. 6612 § 2102 20 U.S.C. 6612 § 2103 20 U.S.C. 6826 § 3116
Required Evidence as Aligned within EMAC	Supporting Resources
1.1 In GME, the LIAP must be current, include all applicable stakeholders, and include information on how it is monitored and revised.	- File: FY26 Stakeholder Quick Reference Guide - Website: Comprehensive Needs Assessment and Integrated Action Plan Tool - Assistance Document: Integrated Action Plan Procedure

Main Requirement 2	Statutory Citations
The LEA plan to utilize ESEA funding must include descriptions of how the LEA intends to fulfill requirements of each ESEA funding source.	20 U.S.C. 6312 § 1112 20 U.S.C. 6436 § 1416 20 U.S.C. 6455 § 1425 20 U.S.C. 7351a § 5222
Required Evidence as Aligned within EMAC	Supporting Resources
2.1 In GME Ensure the IAP includes detailed Goals, Action Steps, Timeline, and Responsible Parties.	- Website: Comprehensive Needs Assessment and Integrated Action Plan Tool - Assistance Document: Integrated Action Plan Procedure

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Main Requirement 3	Statutory Citations
The LEA has transition plans for applicable groups served by the LEA, including program to program.	20 U.S.C. 6312 § 1112 20 U.S.C. 6314 § 1114 20 U.S.C. 6322 § 1119 20 U.S.C. 6438 § 1418 20 U.S.C. 6455 § 1425
Required Evidence as Aligned within EMAC	Supporting Resources
3.1 Evidence of responses to Program Narrative Questions in GME funding application. Evidence of transitions from program to Program	• File: Neglected-Delinquent Transition Toolkit • Website: Transition to Kindergarten • Website: Transition to Middle School • File: Transition to High School

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Main Requirement 5	Statutory Citations
The LEA complies with all required components of the McKinney-Vento Homeless Assistance Act.	20 U.S.C. 6312 § 1112 42 U.S.C. § 11432
Required Evidence as Aligned within EMAC	Supporting Resources
FY26 MR5 Focus: Identification & Immediate Enrollment Attention: The LEA must ensure that all McKinney-Vento Homeless Assistance Act requirements are implemented and can be provided in addition to and outside of ESEA Programmatic Monitoring, if requested Cycle I 5.1 Evidence of the Arizona Student Residency Questionnaire (AZ SRQ) with the Educational Rights of Homeless Children and Youth in all enrollment packets 5.2 Methods of disseminating the Arizona Student Residency Questionnaire (AZ SRQ) with the Educational Rights of Homeless Children and Youth during enrollment 5.3 Designation of staff to identify and immediately enroll potentially eligible children and youth at the time of enrollment when the McKinney-Vento Homeless Liaison is unavailable 5.4 Description of forms and designated staff to remove barriers to the identification and immediate enrollment of unaccompanied homeless youth (UHY) when the McKinney-Vento Homeless Liaison is unavailable 5.5 Description of the process to remove enrollment barriers when documentation typically required for enrollment is missing, including for unaccompanied homeless youth (UHY) Cycle II	Websites • Guidance & Sample Documents for McKinney-Vento Homeless Liaisons • Arizona Homeless Education Program Data • Training for McKinney-Vento Liaisons Identification • Identification Process Guidance & Resources • ADE Identification & Eligibility Interview Questions & Checklist • ADE Written Notice of Eligibility & School Placement Determination Sample • ADE End of Year Notification Letter Sample • Re-Eligibility Determination Guidance & Resources Enrollment • ADE Caregiver's Authorization Affidavit Sample Form • ADE Best Interest Determination (BID) Sample Form • ADE McKinney-Vento Attendance Procedure Sample • ADE Best Practice for 10-Day Unexcused Absences Drop from Enrollment • ADE Immunizations for Homeless Students Education of Homeless Children and Youth Unaccompanied Homeless Youth

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5.1 Designation of staff to coordinate services for potentially eligible children and youth, including unaccompanied homeless youth (UHY), at the time of enrollment before eligibility has been confirmed 5.2 Expected timeline for McKinney-Vento eligible children and youth, including unaccompanied homeless youth (UHY) to be fully enrolled and participating in school with all barriers removed 5.3 Description of process and timeline for potential eligibility, including for unaccompanied homeless youth (UHY), to be communicated to the McKinney-Vento Homeless Liaison for follow-up <u>Cycle III</u> 5.1 Evidence of the LEA's Eligibility Determination and Needs Assessment Interview Checklist used to determine McKinney-Vento eligibility, and blank template of the McKinney-Vento Homeless Liaison's internal tracking sheet 5.2 Timeline for the McKinney-Vento Homeless Liaison to determine eligibility after notification of potential eligibility at the time of enrollment and through staff referrals 5.3 Description of the McKinney-Vento Homeless Liaison's process of determining eligibility 5.4 Designation of staff and timeline for documenting and maintaining eligibility determinations outside of the LEA's student information system (SIS). 5.5 Designation of staff and timeline for reporting McKinney-Vento eligible students in the LEA's student information system (SIS) after eligibility has been confirmed <u>Cycle IV</u> 5.1 Evidence of the LEA's Written Notice of Eligibility and School Placement Determination	• ADE Caregiver's Authorization Affidavit Sample Form • McKinney-Vento and Refugee and Other Newcomer Students: Unaccompanied Youth • Supporting the Education of Unaccompanied Homeless Students-Law into Practice Brief • Unaccompanied Homeless Youth Eligibility Flow Chart • Increasing Access to Higher Education for Unaccompanied Homeless Youth: Information for Colleges and Universities Brief • Homeless status verification letter for student for FAFSA • Help Homeless Youth Access Housing and Pursue Education Data Reporting • McKinney-Vento Internal Tracking Sheet Sample • Data Reporting Requirements & Integrity Rules (SIS)
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and other documentation provided when students are determined to be eligible and when they are determined to be ineligible under McKinney-Vento 5.2 Timeline and process for communicating McKinney-Vento eligibility with internal stakeholders with an educational need to know 5.3 Timeline for distributing the Written Notice of Eligibility and School Placement Determination after eligibility has been determined 5.4 Designated staff responsible for distributing the Written Notice of Eligibility and School Placement Determination after eligibility has been determined 5.5 Methods utilized to distribute the Written Notice of Eligibility and School Placement Determination regardless of McKinney-Vento eligibility	
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Main Requirement 6	Statutory Citations
LEAs with Title I-A funded preschool programs will adhere to consultation, programming, and/or planning requirements.	20 U.S.C. 6312 § 1112 20 U.S.C. 6322 § 1119 20 U.S.C. 6826 § 3116
Required Evidence as Aligned within EMAC	Supporting Resources
6.1 If LEA utilizes Title I-A funds to operate a preschool program: 6.2 Early Childhood Services - The LEA will upload evidence demonstrating that daily preschool services are linked to the performance standards of the Head Start Act. Examples may include daily lesson plans, unit plans, curriculum maps, pacing guides, PLC documentation, etc. 6.3 Coordination - The LEA will upload evidence to demonstrate compliance with coordination with other preschool providers. Examples may include meeting documentation, professional development documentation, policies and procedures, etc.	- Website: Arizona Early Learning Standards, 4th Edition - File: Non-Regulatory Guidance Early Learning in the ESSA Expanding Opportunities to Support our Youngest Learners

Main Requirement 7	Statutory Citations
The LEA will provide all mandatory parents' rights to information and/or notices in a timely manner, and in a format and language that is understood by parents.	20 U.S.C. 6312 § 1112 20 U.S.C. 6318 § 1116 20 U.S.C. 6826 § 3116
Required Evidence as Aligned within EMAC	Supporting Resources
7.1 Four-Week letter 7.2 Title I-A Meeting: Dissemination Procedures and information on all mandatory parents' rights to information and/or notices 7.3 Evidence of how parents are informed of the LEA's state assessment schedule, the purpose of the assessment, parents' right to opt out, and parents' right to request information regarding assessment policy	- Website: 2025 U.S. Family Engagement Guidance - Website: English Learner (EL) Forms

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Main Requirement 10	Statutory Citations
Each LEA shall maintain a written Parent and Family Engagement (PFE) policy that is, jointly developed, agreed upon and distributed to parents and family members of students participating in Title I programs or services.	20 U.S.C. 6318 § 1116
Required Evidence as Aligned within EMAC	Supporting Resources
10.1 Evidence of parental involvement in the annual evaluation of Parent and Family Engagement (PFE) Policy 10.2 Multiple distribution method of PFE Policy. 10.3 Content within PFE includes descriptions of the following: • LEA support of all participating schools to assist and build their capacity in planning and implementing effective parent and family engagement activities • Identification of barriers and needs of parents and families to participate and implement activities to support interactions between the school and home • Plan for distribution of the policy in a format and language that is understood by parents • Submission of parental comments to the LEA • Evaluation of policy • Description of how the LEA coordinates with the community at large to help plan and participate in family engagement activities.	• Website: 2025 U.S. Family Engagement Guidance • Website: Title I Parental Involvement Toolkit • Assistance Document: Information Distribution

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Main Requirement 11	Statutory Citations
School level plan for building capacity for parental involvement, including how to understand and monitor student's academic achievement and performance, training and materials for parents to work with their children on academics, channels of communication, and a School-Parent Compact which lead to supporting children's academic success.	20 U.S.C. 6318 § 1116 20 U.S.C. 6455 § 1425
Required Evidence as Aligned within EMAC	Supporting Resources
11.1 Evidence of parental involvement in the development, refinement, or editing of the School Parent/Family Compact 11.2 Plan for distribution, reception, and agreement for School Parent/Family Compact 11.3 Evidence of signed compact with applicable elements included: School level Parent and Family Engagement Plan which includes: • The school's responsibility to provide high quality curriculum and instruction. • How parents can be involved in their child's education, i.e., parent volunteers, parent training, activities to assist their child at home, etc. • Importance of communication between teachers and parents on a consistent basis i.e. parent-teacher conferences, reports to parents on student progress, reasonable access to staff, ensuring regular, meaningful two-way communication between family members and school staff, etc.	• Website: National Center on Safe Supportive Learning Environments • Website: 21st CCLC Family Engagement • Website: 2025 U.S. Family Engagement Guidance

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Main Requirement 12	Statutory Citations
The LEA provides training and support to build the capacity of parents and families to support their students.	20 U.S.C. 6318 § 1116 20 U.S.C. 6825 § 3115 20 U.S.C. 6455 § 1425
Required Evidence as Aligned within EMAC	Supporting Resources
12.1 Evidence of Parent and Family Engagement Activities & Events with a focus on academic achievement.	- Website: 2025 U.S. Family Engagement Guidance - File: Strategies for Equitable Family Engagement - File: Project Appleseed Family Engagement Activities Handbook

Main Requirement 13	Statutory Citations
Professional development is provided to staff ensuring topics align with the needs of students, including mandatory trainings.	20 U.S.C. 6612 § 2102 20 U.S.C. 6612 § 2103 20 U.S.C. 6825 § 3115
Required Evidence as Aligned within EMAC	Supporting Resources
13.1 Evidence of LEA professional development plan demonstrating the requirements of all ESEA funds received. This should also include evidence of mandatory training requirements. Evidence samples may include professional development planning and goals documentation, calendars, agendas, meeting notes, lists of participants present, presentations, documents shared during meetings, surveys (including survey and results), data, and feedback forms	- Website: Mandatory Training Guidance - File: ESSA Definition of Professional Development resource - Assistance Document: Professional Development Tracker

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Main Requirement 14	Statutory Citations
The LEA has a staff evaluation and support procedure that is based on a comprehensive needs assessment and data analysis which includes retention and recruitment of effective teachers.	20 U.S.C. 6612 § 2103
Required Evidence as Aligned within EMAC	Supporting Resources
14.1 evidence demonstrating compliance with <i>20 U.S.C. 6612 § 2103</i>. Evidence may include the teacher evaluation process, observation and feedback schedules, communications between observers and teachers, documents or presentations provided to teachers about evaluations, etc.	• File: Teacher Input Application: LEA Support Guide

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