

LEA Name:	
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LEA COMPLIANCE AND ASSURANCE CHECKLIST For 2025 - 2026 School Year

Federal regulations (34 CFR 76.708) require that formula grant funds from the Department of Education may not be obligated nor incur costs until the latter of the following two dates: July 1 or the date the LEA submits its application to the state in substantially approvable form.

In order to incur any costs associated for these programs as of July 1, the LEA must first request substantially approvable status which includes certifying federal assurances by completion of this preapplication. USBE staff will review and communicate changes and send back or approve. The application must be completed and approved prior to the release of funds. In order to incur any costs associated with this program as of July 1, the LEA must complete and submit the preapplication before or on June 30.

Question #	Mark Yes, No*, or N/A *If No is marked attach corrective action plan	Compliance and Assurance Item	Authorizing, Implemented, or Interpreted Law	Evidence or Supporting Documentation
STATE ASSURANCES The LEA assures that it has complied with each of the following requirements as outlined in Code and Rule:				
1	Yes No	School Emergency Response Plan By July 1 of each year, the Emergency Preparedness Response Plan has been practiced at the school level and presented to and reviewed by its staff, administrators, students, parents, local public safety representatives and a copy has been filed with the LEA. Emergency Drills (Fire, Earthquake, Violence) Compliance Statement: Required drills have been held, students have proper supervision, training is age appropriate, student assistance programs are in place, school staff maintain control of schools and facilities.	53G-4-402(2); Rule 277-400-3; 15A-5-202.5; R277-400-6	*Link to LEA's policy and procedure
2	Yes No	Student Enrollment Options Student enrollment options are provided as specified in Code and Rule.	Title 53G, Chapter 6, Part 4, School District Enrollment, specifically 53G-6-402, 53G-6-404; and 53G-6-405; R277-437	
3	Yes No	Employee Insurance Coverage Notification Against Legal Liability For LEAs that choose to participate in the fund, employees are provided information in writing upon hire and by April 15th annually regarding insurance coverage and legal liability.	63A-4-204; 63A-4-204.5; 53G-5-407	
4	Yes No	Collective Bargaining Agreements Collective bargaining agreements have been posted as required.	53G-11-207	
5	Yes No	Truancy Prevention Procedures for absenteeism and truancy prevention have been established and are being followed.	Title 53G, Chapter 5, Part 2, Compulsory Education, specifically 53G-6-201; R277-607	
6	Yes No	Child Abuse-Neglect Reporting by Education Personnel The LEA has a policy in accordance with R277-401 and annually notifies employees of their legal obligation to report suspected abuse to the appropriate authorities.	53E-6-701; 80-2-602; R277-401	*Link to LEA's policy and procedures
7	Yes No	Student Search Policies and rules have been established and procedures implemented to ensure protection of individual rights against excessive and unreasonable intrusion.	53G-8-509 R277-615	*Link to LEA's policy and procedures

8	Yes No	Medical Recommendations by School Personnel to Parents A policy has been adopted and implemented regarding prohibitions and exceptions, as required.	53G-9-203	*Link to LEA's policy and procedures
9	Yes No	Electronic Devices Policy A policy governing the possession and use of electronic devices while on public school premises has been adopted and implemented, as required.	53G-8-202 R277-495	*Link to LEA's policy and procedure
10	Yes No	Educational Freedom Each LEA shall provide an annual assurance to the state board that the LEA's professional learning, administrative functions, displays, and instructional and curricular materials, are consistent with the principles of individual freedom.	53G-10-206	
11	Yes No N/A	College and Career Awareness (CCA) The LEA certifies that the CCA course is taught in 7 th or 8 th grade and that the LEA is in compliance with all funding and program criteria.	53E-3-507 53F-2-311 R277-916	
12	Yes No N/A	Positive Behaviors Plan (Electronic Cigarettes and Other Substance Use Prevention) The LEA certifies that each school under the governing Board's jurisdiction has an approved Positive Behavior Plan as described in UCA 53G-10-407.	53G-10-407(5)(b) R277-910	
13	Yes No	Parent Education – Mental Health – Bullying – Safety A free in-person or virtual seminar is provided annually for parents, that begins after 6:00 p.m. or takes place on Saturday, addressing substance abuse, bullying, mental health, internet safety and suicide prevention, and is planned and implemented annually, or the LEA Board has opted-out and provided the reason for such action to the USBE.	53G-9-703	
14	Yes No	Equal Opportunity in Education: An LEA shall submit an annual assurance to the Board that the LEA's professional learning is consistent with this Rule and 53G-10-206	R277-328	
15	Yes No	Sensitive Instructional Materials: LEAs establish a policy and accompanying procedures for the selection and reconsideration of instructional materials selected for a school that: (i) is consistent with current state law, including Sections 53G-10-103, 53G-4- 402 and 53G-5-404.	53G-10-103, R277-628, R277-123-6	*Link to LEA's policy and procedure
16	Yes No	Public School Library Transparency Amendments: LEAs that provide school libraries will provide an online platform that allows a parent to view information regarding materials the parent's child borrows from the school library.	53G-4-402, 53G-5-405	
Adult Education The LEA has complied with the following requirements:				
17	Yes No N/A	Use of Amounts The LEA assures that all adult education funds will only be expended on adult education and literacy activities as defined in WIOA.	WIOA, Sec. 203(2), R277-733-3(2), R277-733-4, 53F-2-401(6)	
18	Yes No N/A	Information for the State The LEA assures that required adult education program data will be collected and entered in the state sponsored adult education student information system according to state and federal guidelines for federal reporting purposes.	WIOA, Sec. 116((b)(2); R277-733-2, Utah Adult Education Policy and Procedures Guide Section 6 – Data Management – Program Responsibilities A & D	

CAREER & TECHNICAL EDUCATION Federal Perkins Program CFDA 84.048 Strengthening Career & Technical Education for 21st Century Act (Perkins V) The LEA has reviewed the requirements below, and on behalf of the LEA agrees to comply with or abide by the Federal regulations below:				
19	Yes No N/A	Compliance with the Law LEA certifies they will comply with the requirements of this Act and the provisions of the State plan, including: 1) The provision of a financial audit of funds received under this Act, which may be included as part of an audit of other Federal or State programs; 2) None of the funds expended under this Act will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the acquiring entity or the employees of the acquiring entity or any affiliate of such an organization.	Perkins V, Sec. 122(c)(13) (a-e)	
20	Yes No N/A	Size, Scope and Quality The LEA certifies that they will provide a career and technical education program that is of such size, scope, and quality to bring about improvement in the quality of career and technical education programs. Federal Perkins funds are intended to support or assist in developing programs of size, scope, and quality that meets the definition outlined in the Utah Perkins V Plan.	Perkins V, Sec. 134(b)(c); 135(b) Utah Perkins V Plan	
21	Yes No N/A	Limitation for Certain Students The LEA certifies that NO funds received under this Act may be used to provide career and technical education programs or programs of study to students prior to secondary school grades (as outlined in the Utah Perkins V Plan).	Perkins V, Utah Perkins V Plan	
22	Yes No N/A	Supplanting The LEA certifies that, if awarded Perkins funds, Career and Technical Education activities shall supplement, and shall not supplant, non-Federal funds expended to carry out career and technical education activities.	2 CFR Part 200 §200.201(b) Title II General Provisions Part A 211 (a)	
23	Yes No N/A	Non-Discrimination The LEA certifies that the LEA will not discriminate against members of special populations because of their status as special populations.	34 CFR Part 100; 104; 106 45 CFR Part 90 28 CFR Part 35; 36 Title II General Provisions Part A	
24	Yes No N/A	Nonprofit Private School Participation in Professional Development Programs The LEA certifies that, upon written request and to the extent practicable, it will permit CTE secondary school teachers, administrators, and other personnel in nonprofit private schools located in the geographical area served by such eligible recipient, to participate in professional development programs.	Title II General Provisions Part A, Sec. 217	
25	Yes No N/A	Nonprofit Private School Participation in CTE Programs The LEA certifies that the LEA will: 1) Student participation – Except as prohibited by State or local law, an eligible recipient may, upon written request, use funds made available under this Act to provide for the meaningful participation, in career and technical education programs, and activities, including programs of study, receiving funding under this Act, of secondary school student attending a nonprofit private school in areas served by the eligible recipient. 2) Consultation – An eligible recipient shall consult, upon written request, in a timely and meaningful manner with representative of nonprofit private schools in the areas served by the eligible recipient described in paragraph (1) regarding the meaningful participation, in career and technical education programs and activities, including programs of study, receiving funding under this Act, of secondary school students attending nonprofit private school.	Title II General Provisions Part A, Sec. 217	

26	Yes No N/A	Meeting Needs of Special Populations The LEA certifies that the LEA will provide members of protected classes with equal access to activities and programs funded under this Act. The LEA will also certify compliance with: 1) Perkins V Section 3(48); 2) Title VI and VII of the Civil Rights Act of 1964; (34 C.F.R. Part 100); 3) Title IX of the Education Amendments of 1972; (34 C.F.R. Part 106); 4) Section 503 and 504 of the Rehabilitation Act of 1973; (34 C.F.R. Part 104); 5) Executive Order 11246 prohibiting employment discrimination based on race, color, sex, religion, and national origin; 6) The Age Discrimination Act of 1975 and the Age Discrimination in Employment Act of 1967; 7) The Equal Pay Act of 1963; 8) The Americans with Disabilities Act of 1990; 9) All health and safety laws and regulations issued by the U.S. Department of Education, pursuant to their laws, when classroom facilities will be used by students and/or faculty.	Perkins V, Section 3(48)	
HIGH-RISK ASSURANCES The LEA assures that it has complied with each of the following requirements:				
27	Yes No	Educator Conduct The LEA assures it has addressed the following requirement(s) with applicable LEA personnel: An educator shall: (1) comply with all federal, state, and local laws; (2) maintain a professional educator/student relationship, including by: (a) treating a student with dignity and respect by promoting the health, safety and well being of students; and (b) maintaining appropriate verbal, emotional and social boundaries; (3) take prompt and appropriate action to stop, mitigate, and prevent harassment or discriminatory conduct toward a student or school employee that the educator knew or should have known may result in a hostile, intimidating, abusive, offensive, or oppressive environment; (4) take prompt and appropriate action to protect a student from any known condition detrimental to the student's physical health, mental health, safety, or learning.	R277-217-3	
28	Yes No	Educator Reporting of Misconduct (1) An LEA shall notify UPPAC if an educator is determined pursuant to a judicial or administrative proceeding, or internal LEA investigation, to have violated the educator standards described in Sections R277-217-2 and R277-217-3. (2)(a) A district superintendent or a charter school director, or their respective designees, shall notify UPPAC and the educator of any allegation from a parent that an educator's conduct violated Sections R277-217-2 and R277-217-3 within 30 days of receiving the allegation.	R277-217-5	
29	Yes No	Reporting Child Abuse and Neglect (1)(c)(i) any school employee who knows or reasonably believes that a child has been neglected, or physically or sexually abused, shall immediately notify the nearest peace officer, law enforcement agency, or DCFS. (2) An LEA policy may direct a school employee to notify a school official of suspected neglect or abuse, but any such requirement shall clarify that notifying a school official does not satisfy the employee's personal duty to report to law enforcement or DCFS.	R277-401-3	*Link to LEA's policy and procedure
30	Yes No	Bullying and Harrassment An LEA shall report and investigate allegations of bullying in accordance with R277-613-5.	R277-613-5	
31	Yes No	Athletics and Coaching - Employee/Sponsor Agreements An LEA shall comply with all provisions related to employee/sponsor agreements in accordance with R277-107-6.	R277-107-6	

32	Yes No	Athletics and Coaching - Coaches and School Activity Leaders as Supervisors and Role Models The LEA assures it has addressed the following requirement(s) with applicable LEA personnel: (1) A coach or other designated school leader shall be an exemplary role model and may not use alcoholic beverages, tobacco, controlled substances, or participate in promiscuous sexual relationships while on school-sponsored activities. (2) Coaches, assistants and advisors shall act in a manner consistent with Section 53G-8-209 and may not: (a) use foul, abusive, or profane language while engaged in school related activities; or (b) permit hazing, demeaning, or assaultive behavior, whether consensual or not, including behavior involving physical violence, restraint, improper touching, or inappropriate exposure of body parts not normally exposed in public settings, forced ingestion of any substance, or any act which would constitute a crime against a person or public order under Utah law.	R277-605-4	
33	Yes No	Athletics and Activity Clinics The LEA assures it has addressed the following requirement(s) with applicable LEA personnel: (1) School personnel, activity leaders, coaches, advisors, and other personnel may not require students to attend out-of-school camps, clinics, or workshops for which the personnel, activity leaders, coaches, or advisors receive remuneration from a source other than the school or district in which they are employed. (2) Required or voluntary participation in summer or other off-season clinics, workshops, and leagues may not be used as eligibility criteria for team membership, participation in extracurricular activities, or for the opportunity to try out for school-sponsored programs.	R277-605-5	
34	Yes No	Fiscal Responsibilities and Required Policies and Procedures (1) An LEA shall review the LEA's fiscal policies and procedures regularly. (2) An LEA shall develop a plan for annual training of LEA and public school employees on policies and procedures enacted by the LEA specific to job function. (3) LEA fiscal policies and procedures shall be available at each LEA main office, at individual public schools, and be publicly available on the LEA's website.	R277-113-5	*Link to LEA's policy and procedure

35	Yes No	LEA Governing Board Fiscal Responsibilities An LEA governing board shall have the following responsibilities: (1) approve written fiscal policies and procedures required by Section R277-113-5; (2) ensure, considering guidance in "Standards for Internal Control in the Federal Government," issued by the Comptroller General of the United States or the "Internal Control Integrated Framework," issued by the Committee of Sponsoring Organizations of the Treadway Commission, that LEA administration establish, document, and maintain an effective internal control system for the LEA; (3) develop a process to regularly discuss and review LEA: (a) budget and financial reporting practices; (b) financial statements and annual financial and program reports; (c) financial position; (d) expenditure of restricted funds to ensure administration is complying with applicable laws, regulations, and award terms and conditions; and (e) systems and software applications for compliance with financial and student privacy laws; (5) oversee procurement processes in compliance with Title 63G, Chapter 6a, Utah Procurement Code, and Rule R277-115, including: (a) reviewing the scope and objectives of LEA contracts or subawards with entities that provide business or educational services; and (b) receiving reports regarding the compliance and performance of entities with contracts or subawards; (7) ensure LEA administration implements sufficient internal controls over the functions of entities with contracts or subawards to perform services on behalf of the LEA.	R277-113-6	
36	Yes No	Special Education The Superintendent and LEAs shall provide services to a student with a disability in accordance with: (1) Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. 794; (2) this rule; (3) the Special Education Rules, June 2023, included in the Special Education Rules manual described in Section R277-750-2; and (4) the annual Utah State Federal Application under Part B of the IDEA.	R277-750	

37	Yes No	<p>Parent Accommodations</p> <p>An LEA shall comply with all provisions related to 53G-6-803 Parents right to academic accommodations.</p> <p>(1) (a) A student's parent is the primary person responsible for the education of the student, and the state is in a secondary and supportive role to the parent. As such, a student's parent has the right to reasonable academic accommodations from the student's LEA as specified in this section.</p> <p>(b) Each accommodation shall be considered on an individual basis and no student shall be considered to a greater or lesser degree than any other student.</p> <p>(c) The parental rights specified in this section do not include all the rights or accommodations that may be available to a student's parent as a user of the public education system.</p> <p>(d) An accommodation under this section may only be provided if the accommodation is:</p> <p>(i) consistent with federal law; and</p> <p>(ii) consistent with a student's IEP if the student already has an IEP.</p> <p>(2) An LEA shall reasonably accommodate a parent's written request to retain a student in kindergarten through grade 8 on grade level based on the student's academic ability or the student's social, emotional, or physical maturity.</p> <p>(3) An LEA shall reasonably accommodate a parent's initial selection of a teacher or request for a change of teacher.</p> <p>(4) An LEA shall reasonably accommodate the request of a student's parent to visit and observe any class the student attends.</p> <p>(9) (a) At the request of a student's parent, an LEA shall excuse a student from taking an assessment that:</p> <p>(i) is federally mandated;</p> <p>(ii) is mandated by the state under this public education code; or</p> <p>(iii) requires the use of:</p> <p>(A) a state assessment system; or</p> <p>(B) software that is provided or paid for by the state.</p>	Utah Code 53G-6-803	
DECLARATION				

The parties referred to in this document are all Federal agencies, including but not limited to the United States Department of Education, the United States Department of Agriculture, the United States Department of Health and Human Services, and the United States Department of Labor, all herein referred to as the "DEPARTMENT," and the Utah State Board of Education, herein referred to as the "USBE," and the local educational agency, herein referred to as the "SUBGRANTEE." The USBE may make funds available to the SUBGRANTEE for programs operated by the SUBGRANTEE in accordance with requirements and regulations applicable to such programs. Consistent with 34 C.F.R. Sections 74-81, the SUBGRANTEE assures, by submitting this automated application, the local education agency representatives assure that the application has been authorized by the board of education or governing board of the local education agency, and the undersigned representatives have been duly authorized by formal action of the board to file this application for, and on behalf of, the local education agency, and otherwise to act as the authorized representatives of the local education agency in connection with this application. By submitting this automated application, the local education agency is acknowledging that it understands and agrees to abide by the applicable assurances included in this application, and that until this application receives approval from the USBE, this LEA will continue to implement programs and use funds in accordance with the previous year approved application. This will serve for the purposes of substantial approval of the LEA application until formal approval of FY25 grant applications are approved.

District Superintendent or Charter School Director	Date Submitted
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