Strategic Improvement Bureaus Federal Programs Monitoring

Florida Association of State and Federal Educational Program Administrators (FASFEPA) Spring Forum

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Florida Department of Education (FDOE) Presenter

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Purpose of Monitoring

- Achieving program goals and objectives
- Adherence to laws, regulations, and the terms and conditions of the program
- Alignment with the approved application

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Why Do We Monitor?

- Student Achievement
- Technical Assistance
- Compliance

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Risk Assessment

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Risk Assessment Objectives

The FDOE conducts an annual risk assessment of all subrecipients, including local educational agencies, to determine their potential risk of noncompliance.

The Strategic Improvement Risk Assessment accomplishes the following objectives:

- Identifies the areas that represent the highest degree of risk for a Local Educational Agency (LEA);
- Identifies LEAs for desktop and onsite monitoring; and
- Assists FDOE staff to focus their monitoring activities on specific risk factors for monitoring purposes.

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Risk Assessment Indicators

Seven Indicators:

1. Percentage of Active Schools in the District Identified for Comprehensive Support & Improvement (CSI) (most recent school year available)
2. Percentage of Active Schools in the District Identified for Targeted Support & Improvement (TSI) (most recent school year available)
3. Percentage of Active Schools in the District Identified for Additional Targeted Support & Improvement (ATSI) (most recent school year available)
4. Total Allocation of Federal Grants, Current Fiscal Year
5. Total Number of Federal Grants Received, Current Fiscal Year
6. Percentage of Unexpended Federal Funds (most recent fiscal year available)
7. Average Years of Experience as Chief Financial Officer (CFO) and Federal Programs Coordinator

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Monitoring Categories

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Self-Certification Monitoring

- Required for all LEAs
- Compliance Indicators
- Corrective Action Plans
- Technical Assistance

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Desktop Monitoring

- Sampling of Documentation
- Additional Documentation
- Conference Calls/Virtual Meetings
- Monitoring Report

Onsite Monitoring

- Pre-Visit Activities
- Onsite Visit
- Post-Visit Activities

Onsite Monitoring (cont.)

Pre-visit Activities

- Notification
- Documentation Checklist
- Conference Call

Onsite Monitoring (cont.)

Onsite Visit

- Bureau of Federal Educational Programs (BFEP), Bureau of School Improvement (BSI) and Bureau of Student Achievement Through Language Acquisition (SALA)
- Introductory Meeting
- Documentation Review, Interviews and Inventory
- Exit Meeting

Onsite Monitoring (cont.)

Post-Visit Activities

- Post-Visit Additional Documentation
- LEA Flexibility

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Examples of Supporting Documentation

Fiscal	Program	Administrative
Invoices/Purchase Orders	List of Student Services Provided by Program	Supplement, Not Supplant Methodology
Payroll Records	Schoolwide Program Plan	Tangible Personal Property Records
Contract Agreements	District Parent and Family Engagement Plan	Property Inventory Records
Receipts	School-Parent Compacts	District Procurement Policy
Travel Reimbursement		District Travel Policy
Time and Effort Records		

Monitoring Activities Comparison Chart			
Monitoring Activity	**Self-Certification**	**Desktop**	**Onsite**
Complete Self-Certification Monitoring Protocols Form	Yes	Yes	Yes
Pre-document request review	No	Yes	Yes
Sampling of documentation	No	Yes	Yes
Documentation review	No	Yes	Yes
Entrance meeting	No	No	Yes
Pre-monitoring conference call	No	Yes	Yes
Staff interviews	No	No	Yes
School visits	No	No	Yes
Program observations	No	No	Yes
Final report	No	Yes	Yes
Corrective Action Plan	Yes, if issues identified	Yes, if issues identified	Yes, if issues identified

Post-Monitoring Activities: Report

Report

- Summary of activities
- Issues identified
- Recommendations
- Required corrective actions

Post-Monitoring Activities: Corrective Action Plan

- Corrective Action Plan (CAP) – LEA's plan to address issues identified in final report
- Due to FDOE within 60 calendar days of the date the final report is issued
- CAP will include:
  - Detailed description of actions LEA will take to resolve the identified issues
  - Parties responsible for implementation
  - Timeline for implementation
  - How implementation will be documented

Post-Monitoring Activities: Corrective Action Plan Development

- LEA may request assistance from monitoring team
- Monitoring team may provide:
  - Information on requirements
  - Best practices
  - Sample forms and procedures
  - Additional resources

Post-Monitoring Activities: Corrective Action Plan Follow-Up

- FDOE will review the CAP and notify the LEA of approval or of any needed revisions.
- FDOE will confirm CAP implementation.
- Confirmation may be performed through:
  - Review of supporting documents;
  - Follow-up conference calls;
  - Future targeted follow-up monitoring; and
  - Review of future project applications.

Monitoring Feedback

Title I, Part A

- Maintaining Documentation
- Written Procedures
- Rank and Serve
- Supplement, not Supplant
- Educator Access Disparities

Monitoring Feedback (cont.)

Title I, Part C: Priority for Services

Title I, Part D: Collaboration, Planning and Transition

Title IV, Part A: Stakeholders, CNA and PoF

Title V, Part B: Implementation and Tracking

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Questions & Answers

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