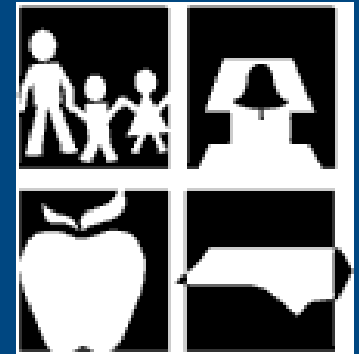


NCACE

October 29, 2009



The Monitoring Process

2009-2010

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Program Monitoring Consultants
NC Department of Public Instruction





Important Monitoring Websites:

- NC Dept of Public Instruction:
<http://www.ncpublicschools.org/>
- NCDPI NCLB Resources:
<http://www.ncpublicschools.org/nclb/>
- NCDPI Program Monitoring Section:
<http://www.ncpublicschools.org/program-monitoring/>
- NCDPI PM Section Monitoring Resources:
<http://www.ncpublicschools.org/program-monitoring/monitoring/>



Program Monitoring Section

- Eight Title I Consultants each with special program area(s)
- One MEP Consultant
- One ID&R Coordinator
- One Parent Involvement Consultant
- One Technology Support Analyst



Program Monitoring Section

- Title I: LEA and School Improvement
- Title I Distinguished Schools
- Perkins Loan Forgiveness
- Safe and Drug Free Schools
- Migrant Education
- Neglected and Delinquent Programs
- Rural and Low-Income Schools Program
- Small Rural Schools Achievement Program
- Comparability/Prayer Certification
- Persistently Dangerous Schools
- Parent Involvement
- Learn and Earn Programs
- Section 504



Why does the SEA Monitor LEAs and Charters?

- The State Educational Agency (SEA) is required by federal statutes to maintain oversight regarding the use of federal funds.
- The SEA must ensure that schools implement programs that continuously improve in quality from year to year.

Does the US Department of Education Monitor States?

- Yes, USED has monitored North Carolina in 2005, 2008, and October 2009.
- The US Government of Accountability Office (GAO) has visited NC since the release of 2009 Spring ARRA funds.



An important connection for school and district support

Our monitoring and technical
assistance model must align
to the new state-wide system
of support.

Keep in mind...

Compliance
leads to
program
quality





SEA Oversight Opportunities

- Application review and approvals
- Budget /amendment review and approvals
- Other: reports, evaluations, data bases, phone/email correspondence, state assessments
- Formal federal program monitoring:
 - Tier 1- Self-Monitoring
 - Tier 2- Desk Review
 - Tier 3- On-site Review



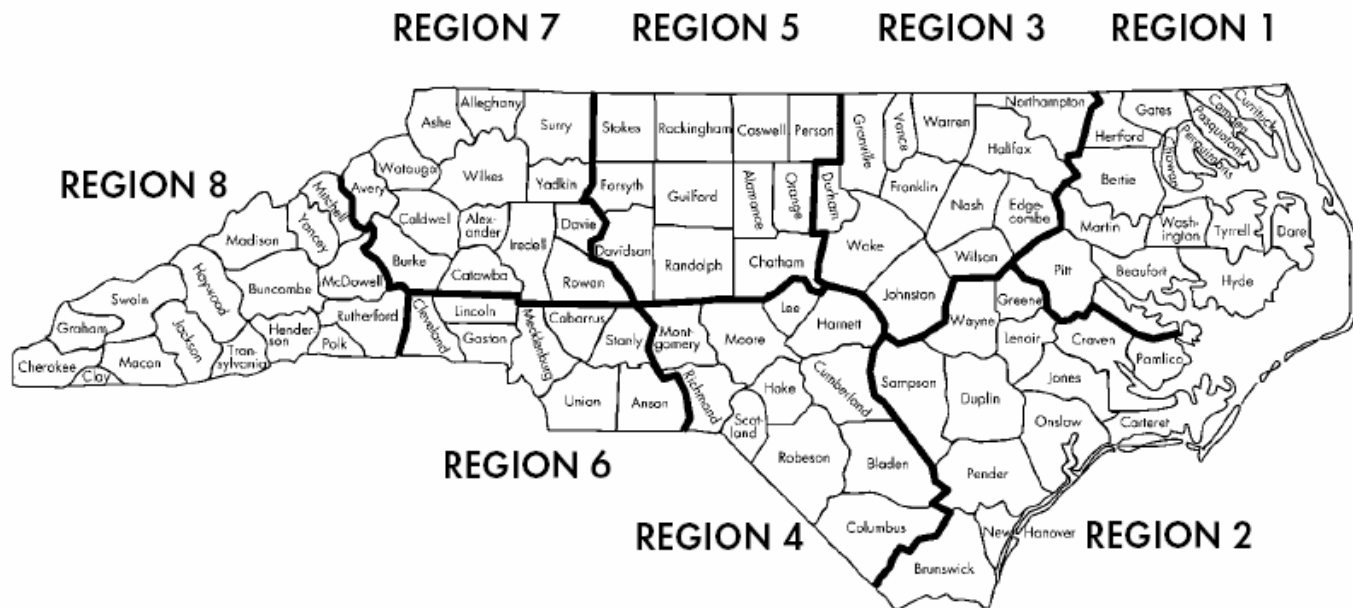
Working to meet the needs


Compliance Monitoring for identified LEAs



Program Quality Reviews supported with technical assistance

2009-10 Closes a Five year cycle in which all LEAs and Charters have been monitored





If you cannot visit all districts or charter schools, how do you choose where to monitor first?

- **Risk Assessment for Title I:**
 - **LEA Improvement/Corrective Action**
 - **% of schools in School Improvement**
 - **% of Targets Met**
 - **LEA/School Progress Made toward exiting LEA/School Improvement**
- **Other factors include**
 - **Amount of funding**
 - **Number of programs funded**
 - **Previous findings from both monitoring and fiscal audits**
 - **Indicators based on program quality reviews**



Monitoring

Monitoring will be consolidated for

- Title I (including ARRA funds)
- MEP
- N&D
- Title IV, SADFS
- REAP
- Monitoring will be tiered for LEAS/Charters



Title I Monitored Programs:

- Part A: <http://www.ncpublicschools.org/program-monitoring/titleIA/>
- Part, C - Migrant Education:
<http://www.ncpublicschools.org/mep/>
- Part D - Neglected & Delinquent:
<http://www.ncpublicschools.org/program-monitoring/titleID/>

Other Federal Programs Monitored:

- Title IV, Part A – Safe & Drug Free Schools:
<http://www.ncpublicschools.org/program-monitoring/safeschools/>
- Rural Education:
<http://www.ncpublicschools.org/program-monitoring/reap/>




3 Monitoring Tiers

- Tier I: Self-Monitoring
- Tier II: Desk Review
- Tier III: On-Site Review



Tiered monitoring provides:

- Greater focus on highest risk LEAs/Schools
- A benchmark approach to monitoring-- on-going assessment
- District responsibility for compliance accountability
- Time and personnel efficiency
- Paper management



**Cross
Program
Consolidated
Monitoring**



Methodology

- Because the Cross Program consolidated Monitoring includes **sampling**, the monitoring process cannot produce an **all-inclusive** assessment of items in each instrument.
- The LEA is responsible for operating its Categorical programs in compliance with applicable laws and regulations.



Goals of Monitoring 2009-10

- Monitoring of common and/or key compliance indicators as it effects program quality
- Continue a tiered monitoring approach
- Provide transition toward Consolidated Application
- Ensure appropriate expenditures from Title I, Part A ARRA Funds
- Ensure implementation of Final Title I Regulations (October, 2008)



ARRA Oversight/Monitoring



Consolidated monitoring requires...

- Consolidated monitoring instrument
- Cross-trained consultants
- Consolidated application



Common Compliance Strands

- **Stakeholder Involvement**
- **Governance, Administration, and Funding**
- **Program Quality**
- **Accountability and Reporting**

Common Compliance Strands

EXAMPLE:

- **Stakeholder Involvement.** Parents, staff, students, and community members participate in developing, implementing, and evaluating programs at LEA and school levels.

7. LEA consults with teachers, principals, administrators, and parents in the design and development of plans.	<input type="checkbox"/> LEA Plan <input type="checkbox"/> Safe Schools Plan <input type="checkbox"/> MEP application <input type="checkbox"/> Evidence of consultation (meeting dates/agendas, participants, minutes) <input type="checkbox"/> Evidence of availability for public review Other: Interviews, communications
Notes/Comments: SADF guidance addresses an “Advisory Council” but does require consultation with community agencies and law enforcement.	
Finding:	Required Action:



Communication from NCDPI Program Monitoring to LEA or Charter:

- Superintendent or Charter Principal will receive a letter from Division Director notifying system of upcoming monitoring, due dates, and specific schools identified for documentation.
- Title I Director/Charter Principal and PM Consultant are the primary contacts/responsible for document submission & review.

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Self-Monitoring



Self-Monitoring

- This tool will have "General Provisions" which are common across programs and "Program Specific" items.
- Responses are required on each item and documentation must be maintained on file in the LEA demonstrating compliance for each item.



Self-Monitoring


- *Different instrument than onsite/desk review monitoring*

Rating Scale:

- Met Requirements
- District Resolving (*requires comments*)
- Not Applicable

- Consultant and Director will coordinate phone interviews and/or submission of additional documentation if needed

- Closing Communication Sent from Program Monitoring Consultant to LEA Federal Programs Director or Charter Principal



Self-Monitoring Schedule

- **December** – Alleghany, Mooresville City, Elkin City, Jones County, Pamlico County
- **January** – Hyde County
- **February** – Tyrell County
- **March** – Swain County, Graham County, Clay County
- **April** – Camden County



Desk Review

Desk Review Monitoring

- LEA/Charter will be asked to submit documentation electronically through PDF, Website, or other tech software* (*TBD)

Rating Scale:

- Met requirements
- Not Applicable
- Finding/Action Needed
- Recommendations

- Consultant and Director will coordinate phone interviews and/or submission of additional documentation if needed

- Official Monitoring Report is sent to the LEA

- LEA responds as necessary to the Report findings

- Closing Letter Sent from Section Chief/Director to Superintendent or Charter Principal



Desk Review Monitoring Schedule

- **December** – Currituck County
- **January** – Dare County
- **February** – Mitchell County
- **March** – Perquimans County
- **April** – Watauga County, Mt. Airy City



On-Site Monitoring

On-Site Monitoring

- Consultant/Director will schedule 1-3 days for onsite review of documentation and interviews of: grant coordinators, parents, school administrators, and school improvement team

Rating Scale:

- Met requirements
- Not Applicable
- Finding/Action Needed
- Recommendations

- Preliminary results are discussed in an exit conference

- Official Monitoring Report is sent to the LEA


- LEA responds as necessary to the Report findings

- Closing Letter Sent from Section Chief/Director to Superintendent or Charter Principal

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On-Site Monitoring Schedule

- **December** – Cherokee County, Ashe County, Avery County
- **January** – Chapel Hill Carrboro City Schools
- **February** – Alexander County, Newton-Conover City Schools
- **March** – Caswell County, Jackson County, Transylvania County
- **April** – Madison County, Yancey County, Orange County, Wake County

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LEAs are required to provide
“substantial evidence” that
programs are implemented
demonstrating federal
compliance.

What we really want to see is
“substantial evidence.”



When we ask for:

- Principal's attestation statements

What we really want to see:

- Qualifications for both paraprofessionals and teachers
- Reflective of current staff
- Signed by current administration



When we ask for:

- LEA Plan

What we really want to see:

- Needs assessment driven (for all programs)
- Appropriate stakeholder involvement (for all populations)
- Coordination of program funds aligned to needs (for all programs)

How to Prepare:

- What federal programs do you have?
- What person is responsible for this federal grant?
- *(Delegate person)* to begin organizing files – organize according to instrument when possible.
- Communicate with appropriate district leaders:
 - Title I Principals
 - Finance
 - Human Resources
 - Other monitored federal grant coordinators
- Contact directors or districts that have been monitored previously for feedback/insight
- Clarify any questions with the appropriate Program Monitoring Consultant:
<http://www.ncpublicschools.org/academicservices/monitoring/directory/staff>



How to Prepare – cont'd:

- Review monitoring resources on the program monitoring website and supplemental email attachments
- Additional docs to review:
 - Monitoring Instrument (and ARRA Addendum)
 - Private School CD (good resource for targeted programs)
 - Parental Notifications Checklist
 - Targeted Components
 - Schoolwide Components
 - Parent Interview Questions
 - Prek Student Trace



Frequent findings:

- Agendas, minutes, and sign-in sheets
- Targeted programs (including PreK) should have multi-criteria to rank order students
- If using information for eligibility other than Child Nutrition (such as surveys) - need documentation
- LEA report card (charter school report card) - should have documentation of how the information was communicated to parents with a cover letter



US Department of Education Resources:

- US Dept of Education Website:
<http://www.ed.gov>
- Elementary and Secondary Act as amended by
2001 No Child Left Behind:
<http://www.ed.gov/policy/elsec/leg/esea02/index.html>
- Index for NCLB USED Resources:
<http://www.ed.gov/nclb/index/az/index.html>

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Questions?