

Guidelines for the Consolidated Monitoring Process for PSUs

INTRODUCTION

The Every Student Succeeds Act (ESSA) of 2015 is designed to promote equitable access to high-quality education for all students, regardless of economic background. Under the law, Federal title grant funds are available to eligible Public School Units (PSUs) to supplement services and improve student outcomes. These funds also support professional development and resources to strengthen teaching, learning, and student success, particularly in schools and communities facing low income and other challenges. In North Carolina, the Department of Public Instruction has consolidated several ESSA-related Federal grants into a single plan-application with technical assistance and support around compliance, implementation, and monitoring. This document provides ***Guidelines for PSUs specific to the Consolidated Monitoring Process***, the consolidated title programs, and grants are:

- Title I Part A (Improving Basic Programs Operated by Local Education Agencies)
- Title I, Part C (Education of Migratory Children)
- Title I, Part D (Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk)
- Title II, Part A (Supporting Effective Instruction)
- Title III, Part A (English Language Acquisition, Language Enhancement, and Academic Achievement)
- Title IV, Part A (Student Support and Academic Enrichment) and
- Title V, Part B (Rural Education Initiative)

PART I – SCOPE AND PURPOSE OF MONITORING

The Office of Federal Programs (OFP) of the North Carolina Department of Public Instruction conducts Consolidated Monitoring events and activities to measure compliance with the provisions of the grants listed above. A federal program administrator (PA) at OFP will lead the monitoring process and serve as the primary contact for the PSU.

The scope of monitoring depends on the Federal grants and title funds that the PSU receives. In addition, the process considers other programs under ESSA, such as Title I prekindergarten, homeless education programs, Targeted School Improvement (TSI), Comprehensive School Improvement (CSI), and equitable services for private schools. OFP has organized key provisions of the Every Student Succeeds Act into 22 Elements for PSU compliance indicators, evidence of practices, and documentation that form the basis of the consolidated monitoring process. The accompanying Consolidated Monitoring Instrument describes the elements in detail and provides examples of the types of documentation PSUs will be asked to provide to OFP during the process. The following pages provide essential information on document review, school visits, and stakeholder interviews. The resulting monitoring report and PSU responses to any findings are also briefly described.

PART II – THE 22 ELEMENTS (APPLICABLE DOCUMENTATION TO THE PSU)

Element # and Name	District (D) submits doc. in Title I Crate	District Selected Schools (DSS) submits doc. in Title I Crate	Charter & LAB (CL) Schools submits doc. in Title I Crate
Consolidated			
Element 1.0 (Consolidated): Consultation with Required Stakeholders in Developing and Revising Plans for the Use of Federal Funds	Yes	Yes	Yes
Element 2.0 (Consolidated): Equitable Services - Timely and Meaningful Consultation with Private Schools	Yes	No	No
Element 3.0 (Consolidated): Understandable Language and Format of Information Disseminated to Parents and Stakeholders	Yes	Yes	Yes
Element 4.0 (Consolidated): Professional Development	Yes	No	Yes
Element 5.0 (Consolidated): Use of Funds to Supplement, Not Supplant	Yes	No	Yes
Title I			
Element 6.0 (Title I-A): The Parents Right to Know (Required Notifications)	Yes	Yes	Yes
Element 7.0 (Title I-A): Required Commitments with Equity Plans and Collaboration with Welfare Agencies	Yes	No	Yes
Element 8.0 (Title I-A): Homeless, Neglected and Delinquent Students	Yes	No	Yes
Element 9.0 (Title I-A): Use of Title I-A Funds	Yes	No	Yes
Element 10.0 (Title I-A): Schoolwide (SW) Program and Targeted Assistance School (TAS) Program	Yes	Yes	Yes
Element 10.0 (Title I-A): Schoolwide (SW) Program and Targeted Assistance School (TAS) Program	Yes	Yes	Yes
Element 11.0 (Title I-A): Parent and Family Engagement (PFE) Policy, Title I Annual Meeting, School-Parent Compact, Building Capacity, PFE Funds	Yes	Yes	Yes
Element 12.0 (Title I-A): Early Childhood and Coordinated Services	Yes	Yes	Yes
Element 13.0 (Title I-A): Comprehensive Support and Improvement (CSI) and Targeted Support and Improvement (TSI)	Yes (if CSI-TSI)	Yes (if CSI-TSI)	Yes (if CSI-TSI)
Title II			
Element 14.0 (Title II-A): Allowable Use of Title II Funds	Yes	No	Yes
Title IV			
Element 15.0 (Title IV-A): Allowable Use of Title IV Funds	Yes	No	Yes
Title III			
Element 16.0 (Title III): Procedures to Determine English Language (EL) Proficiency of Students and Language Fluency of Teachers	Yes	Yes	Yes
Element 17.0 (Title III): Training and Technical Assistance with the EL Standards and the Provision of Instruction for EL and/or Immigrant Students	Yes	Yes	Yes
Migrant Education			
Element 18.0 (Title I, Part C, Migrant Education): Coordination and Integration of Migrant Education Programs (MEP)	Yes	No	No
Element 19.0 (Title I, Part C, Migrant Education): Alignment with the MEP State Service Delivery Plan	Yes	No	No
Element 20.0 (Title I, Part C, Migrant Education): Evaluation of the MEP	Yes	Yes	No
RLIS			
Element 21.0 (Rural and Low-Income School Program (RLIS): Applicable to PSUs using Title V, Part B, Subpart 2, PRC 109 Funds	Yes	No	Yes
State Agency Title I, Part D subpart 1			
Element 22.0 (State Agency Title I, Part D subpart 1): Applicable to PSUs using Title I Part D Subpart 1, PRC 047			

PART III – THE MONITORING PROCESS

Most of the activities associated with the Consolidated Monitoring process involve reviewing documents and interviewing stakeholders. Two sections in this part will help the PSUs prepare **A. Providing Documentation for Review** and **B. Preparing for the Interviews with Stakeholders/Exit Conference**.

After reading these Guidelines and becoming familiar with the Elements and documentation requirements, please feel free to contact the PA to discuss the document request and plan the visit.

A. Providing Documentation for Review

1. The PSU is responsible for providing documentation and evidence of compliance with the statutes that are cited in Elements. Some of the elements or portions of the elements will not apply. The PA will help identify those areas where the PSU will not be required to produce evidence.
2. ***The PSU will submit documents electronically to OFP using Title I Crate.*** Please check your email for an automated message with instructions on accessing Title1 Crate/806 Technologies. The sender of the email is support@806technologies.com. Access to the Title I Crate folders will be provided to the Superintendent (Districts), Board Chairs (Charters), and the Federal Program Director/contacts listed on the Notification Letter. These individuals will be able to grant access to other PSU-level users and school users.
3. The Title I Crate platform will be set up to include a Parent Folder for each of the applicable Elements listed on the Monitoring Instrument. OFP requests for relevant document(s) are then dropped into each folder. There is no need to upload documentation for any elements that do not apply to the PSU. If a single document satisfies more than one element, it should be uploaded to the other applicable element folders.
4. The Consolidated Monitoring Instrument provides multiple examples of possible evidence that could demonstrate compliance. The PSU is not required to provide an exhaustive set of a particular kind of document. For example, to prove that a specific group has met 12 times during the year, the PSU may supply the documents related to one or two of those meetings, if those documents reflect what is described in the given element. Documents from all the other meetings are not required. However, to provide a more comprehensive view, a calendar or schedule showing the other meeting dates should be included. During the interviews, stakeholders may be asked whether the supplied artifacts represent regular meetings, as applicable. ***The Lead PA is available to answer questions about providing sufficient documentation for a particular element.***
5. Only the most recent or current documents that demonstrate compliance are required. Documents spanning the last two or three years are NOT required. For example, the most recent artifacts from required annual Title I meetings would suffice if they fit the description provided in *Elements and Documents*. If the current year's documentation is not yet available, last year's documentation will suffice.

6. Items may be provided in the following formats: PDFs, Word files, TXT files, Excel files, CSV files, PowerPoints, or JPEGs. However, ***the PSU must ensure that once a document is uploaded in Title I Crate, it is accessible and viewable.*** If other formats are included, the PSU should contact the PA before uploading them. Files in proprietary formats generated by subscription-based services or special applications cannot be opened with the software on OFP computers. In such cases, screenshots that are stored as PDFs or JPEGs may be used if they are legible.
7. ***All documentation must be submitted by PSU no later than 5:00 P.M. one week before the Monitoring Interview date.*** Title I Crate file access will be locked after that date and time, and no additional documentation will be accepted for upload. **IMPORTANT:** The ratings of the applicable elements and the monitoring report will be based on documents that are submitted by the deadline; late documents will not be reviewed. PSU staff should consult the PA with any questions about the documents needed for the elements.
8. Clarifying information may be added onto an existing document in the form of an electronic "post it," comment, or a handwritten, highlighted note at the top right of a document. Include the name of the person and the date on which the clarification was added.
9. The examples of evidence listed in the Monitoring Instrument are intended to clarify and simplify the PSU's document collection efforts. Before searching far and wide for documents that might be needed, the PSU should consult with the PA. In many cases, less is more.
10. All documents must be available for review no later than 5:00 P.M. one week prior to the Monitoring Interview date. Title I Crate file access will be locked after that date and time, and no additional documentation will be accepted for upload. **IMPORTANT:** The ratings of the applicable elements and the monitoring report will be based on documents that are submitted by the deadline; late documents will not be reviewed. PSU staff should consult the PA with any questions about the documents needed for the elements.

B. Preparing for the Interviews with Stakeholders

1. The OFP team may interview up to four separate groups for PSUs: parents, principals, teachers, and central office staff. The interviews will last about 40 to 50 minutes each.
2. It may reassure stakeholders that this is a routine monitoring process that occurs once every few years and that it focuses on PSU practices, not on schools or staff members. The interviews will be documented with notes, but comments or discussions associated with names are not maintained.
3. Sample topics for stakeholder interviews can be found in the APPENDIX, which is located on the last two pages of the Consolidated Monitoring Instrument. PSUs may share the APPENDIX with stakeholders before the monitoring visit.

4. **Parent Interview:** The parents will be interviewed as a group, with no others present, except for any interpreters if required. OFP asks the PSUs to adhere to the following guidelines:
 - a. Two to four parents of participating students from each selected school are expected to attend.
 - b. PSUs can invite parents from Title I schools that were not officially identified part of the selected schools process.
 - c. PSUs should invite additional parents from any of the PSU's schools, if needed to ensure representation of families of students served with the applicable federal funds, such as English Learners (EL), Exceptional Children (EC), migrant, homeless and pre-k students.
 - d. The parents in this group may not be employees, contractors, or board members of the PSU.
5. **Teacher Interview:** Teachers, licensed providers, and others who provide direct instructional or support services to students will be interviewed together in one group with no others present. OFP asks the PSUs to adhere to the following guidelines:
 - a. Two to four teachers from each selected school are expected.
 - b. A variety of grade levels and teaching areas should be represented.
 - c. The group should include mostly classroom teachers but may also include resource teachers, interventionists, media specialists, social workers, or counselors.
 - d. PSUs can invite teachers from non-Title I schools to support discussions of Title II, Title III, Title IV-A and Title I-C, as this PSU sees fit. For example, if the PSU operates a Migrant Education (MEP) Program, school-based personnel funded with Title I-C funds should be included in this part of the interview process.
 - e. **Not to be included** are instructional coaches, facilitators, or those seen in a position of leadership or oversight - even those who serve only part-time in those roles. (These individuals may attend the principal or the central office, if the PSU believes it would be beneficial.)
6. **Principal Interview:** The principals will be interviewed together as a group, with no others present. OFP asks the PSUs to adhere to the following guidelines:
 - a. The principals of all selected schools are expected to attend and may bring their assistant principal or other leadership staff from their buildings as they see fit.
 - b. Principals from non-Title I schools may be invited to support discussions of Title II, Title III, Title IV-A and Title I-C, as the PSU sees fit.
 - c. Principals from other Title I schools are also welcome to attend, as the PSU sees fit.
7. **Leadership Team Interview/Exit Meeting:** Leadership interviews and exit conferences include centralized administrator leaders not part of the previous interview group sessions and are pertinent to discuss the requested documentation and implementation of federal programs; If the PSU operates a Migrant Education Program (MEP), the migrant recruiter and migrant coordinator should be included in this part of the interview process. The Leadership Team Interview/Exit Meeting will be the last session of the day, allowing the OFP team to tie up any loose ends that remain after the previous interviews. As applicable, the exit meeting follows the interview, providing an opportunity for OFP and PSU staff to share feedback about the monitoring process.

PART IV – ELEMENT RATINGS AND THE MONITORING REPORT

Public-school units (PSU) monitored will receive ratings and feedback. Ratings and feedback are based on the submitted documentation, online platforms used by PSUs to maintain required plans, budgets, and information from interviews/exit meetings. OFP will provide a comprehensive review of the PSU's implementation of the consolidated federal programs, including ratings and feedback to the PSU, within 30 business days after the monitoring event. Elements will be considered not applicable (NA) if the PSU does not participate in the Federal Title Program with the associated elements, 1-22. The applicable and NA elements will be communicated to the PSU at least 30 business days before the monitoring event.

For elements rated as ***Meets Requirements*** and ***Meets Requirements with Recommendation***, no further action is required by the PSU. However, the PSU should review recommendations and consider implementation and program improvement opportunities. For an element where a ***Finding*** is issued, OFP provides the areas of non-compliance, the corrective actions required by the PSU, and the deadlines by which those actions must be completed. The PSU will have 30 business days to submit the documentation needed to resolve all findings. The PSU will provide the necessary documentation to OFP electronically, using Title I Crate. Upon resolution of the findings, the PSU will receive an official letter confirming the closure of the monitoring process.

Ratings Rubric:

Meets Requirement occurs when:

- Compliance has been demonstrated and met.
- Required documents have been provided to support compliance.
- Interviews are consistent with documentation and indicate proper processes and implementation.
- The PSU's most recent Federal Programs Consolidated Application and applicable Title Fund budgets have been approved or are in acceptable standing to meet compliance.

Meets Requirement with Recommendation occurs when:

- Compliance has been demonstrated and met. However, documentation or programming may be strengthened with new activities or reasonable measures.
- Required documents have been provided to support compliance.
- Interviews are consistent with documentation and indicate proper processes and implementation.
- The PSU's most recent Federal Programs Consolidated Application and applicable Title Fund budgets have been approved or are in acceptable standing to meet compliance.

A Finding ensues when one or more of the following occurs:

- Compliance has not been demonstrated or met.
- Documentation or required activities are incomplete or lacking.
- Interviews do not support documentation or reveal a lack of understanding of processes or implementation.
- Evidence is inconsistent across the district/centralized services and/or school levels.
- The PSU's most recent Federal Programs Consolidated Application or applicable Title Fund budgets are not in acceptable standing.