

# Guidelines for Cross-Program Consolidated Monitoring Process for Districts

District: \_\_\_\_\_

Documentation due: \_\_\_\_\_ On-site visitation: \_\_\_\_\_

Selected schools \_\_\_\_\_

## 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, various grants are made available to school districts in order to help compensate for additional challenges of providing education in schools that are impacted by economic hardships.

In North Carolina, seven of those grants have been consolidated for purposes related to grant application, implementation and compliance monitoring. Those 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 Cross-Program Consolidated Monitoring (CPCM) 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 district.

The scope of monitoring depends on the grants in which the district participates. In addition, CPCM will consider the district's participation in other programs addressed by ESSA, such as Title I pre-kindergarten, homeless education programs, Targeted School Improvement (TSI), Comprehensive School Improvement (CSI) and equitable services for private schools. Other ESSA grants and related programs which a district might participate in do does not fall within the scope of the CPCM process.

OFP has organized key provisions of ESSA into 22 compliance elements for districts that form the basis of the CPCM process. The accompanying *CPCM Monitoring Instrument* describes the elements in detail and provides examples of the types of documentation districts will be asked to provide to OFP during the process. The following pages provide important details about the document review, school visits and interviews with

stakeholders. The resulting monitoring report and district responses to any findings are also briefly described.

## **PART II – THE MONITORING PROCESS**

Most of the activities associated with the CPCM process are the review of documents and interviews with stakeholders.

Three sections in this part will help the district prepare for the CPCM process:

- A – Sharing Documents for Review
- B – Preparing for the School Visits
- C – Preparing for the Interviews with Stakeholders.

After reading these *Guidelines* and becoming familiar with *Elements and Documents*, please feel free to contact the PA to discuss the document request and plan the visitation.

### **A - Sharing Documents for Review**

The district is responsible for providing evidence of compliance with the statutes that are cited in *Elements and Documents*. Some of the elements or portions of elements will not apply. The PA will help identify those areas where the district will not be required to produce evidence.

- 1) The district will share the documents with OFP electronically, using SharePoint. After official notification of the monitoring visit, the PSU will receive an automated message with instructions on how to access SharePoint. Access to the SharePoint folders will automatically be granted to the Superintendent and the Federal Program Director listed on the Notification Letter. If your PSU would like to grant access to additional District staff, please email your Lead Program Administrator those names, roles, and email addresses. If your PSU uses an external platform (e.g., Google Drive) to maintain documentation, OFP has created a video reference guide to show how to transfer documents into the SharePoint platform.
- 2) The SharePoint platform will be set up to include a Parent Folder for each of the Elements listed on the Monitoring Instrument (22 Folders total). OFP requests 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 district.
- 3) Some of the elements will require documents that come from the selected schools. Within each of those element folders, district staff should create subfolders named for those schools. Elements where school-based documents are likely to be required are noted as such on the Monitoring Instrument column titled *Supporting Documentation*.
- 4) If one document satisfies more than one element, it should be uploaded into ***all applicable folders***. This seems redundant but makes it easier for all parties to keep track of what has been shared and reviewed.



- 5) The Monitoring Instrument column titled *Supporting Documentation* provides multiple examples of types of possible evidence that could demonstrate compliance. The district is not required to provide an exhaustive set of a particular kind of document. For example, to demonstrate that a particular group has met 12 times during the year, the district may supply the artifacts related to one or two of those meetings, as long as those artifacts reflect what is described in the given element. Artifacts from all the other meetings would not be 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 if the supplied artifacts represent meetings that occur on a regular basis, as applicable. The PA is available to answer questions about supplying sufficient documentation for a particular element.
- 6) 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.
- 7) Items may be provided in the following formats: PDFs, Word files, TXT files, Excel files, CSV files, PowerPoints, or JPEGs. If other formats are included, the district should contact the PA prior to 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, screen shots that are stored as PDFs or JPEGs may be used, if they are legible.
- 8) All documents provided as evidence must be genuine documents that reside in the district's files or databases or are disseminated (e.g., handbooks or brochures) or shared as a part of the district's operations (e.g., emails or web page). District staff should not create documents (such as notes-to-file) that describe the district's compliance with an element simply to have a document to provide for the monitoring event. If none of the requested documentation exists for an element, the PA should be contacted to help determine how compliance is best demonstrated.
- 9) Clarifying information may be added onto an existing document in the form of an electronic "post-it" or comment (e.g., features available in Adobe or Word) or a handwritten note in the margin prior to scanning. For example, if a sign-in list does not indicate which participants at a stakeholder meeting are parents, that information should be added. The author of the notation should include their name and the date on which they are adding the clarification.
- 10) The examples of evidence listed in Monitoring Instrument column titled *Supporting Documentation* are intended to clarify and simplify the district's document collection efforts. Before searching far and wide for documents that might be needed, the district should consult with the PA. In many cases, less is more.
- 11) All documents must be available for review no later than 5:00 P.M. on the due date listed on page 1 of these guidelines. SharePoint 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. District staff should consult the PA with any questions about the documents needed for of the elements.



## B – Preparing for the School Visits

A small team from OFP will visit each of the selected school(s) for about 40 minutes during the morning of the **visitation date listed on the first page of these guidelines**. School staff and students should be assured that there is no need to alter their instructional plans or other activities for this visit. For example, a schoolwide assembly that coincides with the visit should take place as planned. It is the expectation the OFP team will meet with each principal of the selected Title I school(s) for a few moments prior to touring the school and the principal will facilitate the school tour. If the district funds pre-k with Title I, the team will visit one or two pre-k classrooms to examine the on-site documents related to student selection and to briefly ask the pre-k teachers about the implementation of the pre-k program.

The schedule for the visits and interviews will be determined by the district, based on the locations and start times of the selected schools and the scheduling needs of the parents, teachers and principals.

A typical district outline of the schedule might appear as follows:

### Morning – Visits to the Selected Schools:

8:00 – 8:40	School 1
9:00 – 9:40	School 2
10:00 – 10:40	School 3
11:00 – 11:40	School 4

### Afternoon – Interviews:

1:00 – 1:50	Parents, Teachers or Principals (as determined by the district)
2:00 – 2:50	“ “ “ “
3:00 – 3:50	“ “ “ “
4:00 – 4:45	Central Office Staff Interview
4:45 – 5:00	OFP team meeting/review of notes
5:00 – 5:15	Central Office Staff Exit Conference (includes staff selected by the district)

## C – Preparing for the Interviews with Stakeholders

- 1) The OFP team will interview four separate groups for districts: parents, principals, teachers and central office staff. The interviews will last about 40 to 50 minutes each. Because of the tight schedule, the interviews should all take place at the same location. The central office staff for districts will be interviewed last.
- 2) It may reassure stakeholders to know that this is a routine monitoring process that occurs once every few years and that the process focuses on district practices, not on schools or staff members. The interviews will be documented with notes and sign-in sheets, but none of the comments or discussion will be attributed to specific participants.
- 3) Sample stakeholder interview questions are provided on the Monitoring Instrument in the column entitled Interview Questions. PSUs may share the interview questions with participants prior to the monitoring visit, however interview participants should not respond to questions from a prepared script.



- 4) Parent Interview: The parents will be interviewed as one group with no others present, except for any interpreters required to facilitate participation of all attendees. OFP asks the districts to adhere to the following guidelines:
- Two to four parents of participating students from each selected school are expected to attend.
  - Districts can invite parents from other Title I schools that are not a sample school.
  - Districts should invite additional parents from any of the district's schools, if needed to ensure representation of families of students served with the applicable federal funds, such as English as a Second Language (ESL), migrant, homeless and pre-k students.
  - The parents in this group may not be employees of the school district or a member of the local board of education.
- 5) Principal Interview: The principals will be interviewed together in one group with no others present. OFP asks the districts to adhere to the following guidelines:
- The principals of all selected schools are expected to attend and may bring other leadership staff from their buildings as they see fit.
  - Principals from non-Title I schools may be invited to support discussion of Title II, Title III, Title IV-A and Title I-C, as the district sees fit.
  - Principals from other Title I schools are also welcomed to attend, as the district sees fit.
- 6) Teacher Interview: Teachers and others who work directly with students will be interviewed together in one group with no others present. OFP asks the districts to adhere to the following guidelines:
- Two to four teachers from each selected school are expected.
  - A variety of grade levels and teaching areas should be represented.
  - Districts can invite teachers from non-Title I schools to support discussion of Title II, Title III, Title IV-A and Title I-C, as this district sees fit. For example, if the district 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.
  - Districts can invite teachers from other Title I schools that are not a sample school to attend, as the district sees fit.
  - The group should include mostly classroom teachers but may also include resource teachers, interventionists, media specialists or counselors.
  - Not to be included are instructional coaches or facilitators, even those who serve only part-time in those roles. (These individuals may attend the principal or the central office, if the district believes it would be beneficial.)
- 7) Central Office/Exit Conference: This interview will include any central office staff necessary to discuss the requested documentation and the district's implementation of all consolidated federal programs. If the district operates an MEP Program, the migrant recruiter and migrant coordinator should be included in this part of the interview process. It will be the last interview conducted, allowing the OFP team to tie up any loose ends that remain after the previous interviews. The final portion of the central office interview will serve as an exit conference, providing an opportunity for OFP and district staff to share feedback about the monitoring process.



### **PART III – ELEMENT RATINGS AND THE MONITORING REPORT**

Based on the documentation and interview notes, OFP staff will analyze the district's implementation of the consolidated federal programs and issue a rating for each of the applicable elements, using the following rubric:

A rating of Meets Requirement will be issued if the following are true:

- Compliance element is 100% met and supported by all required evidence.
- All required documents are provided and support compliance.
- Interviews are consistent with documentation and indicate proper processes and implementation.
- Compliance is consistent at the district level and throughout the schools.

A rating of Meets Requirements with Recommendations will be issued if:

- Basic compliance requirements are met.
- Compliance and/or documentation could be strengthened with reasonable modifications.

A Finding will be issued if either of the following is true:

- Evidence or lack of evidence shows compliance element has not been met.
- Documentation is incomplete or lacking.
- Interviews do not support documentation.
- Interviews reveal a lack of understanding of processes or implementation.
- Compliance is inconsistent at the district or school level.

An element will be considered not applicable if the district does not participate in the program(s) which form the basis of the element or if the pre-requisites stated in the element do not apply.

OFP will issue a monitoring report by designating one of the three ratings for each of the applicable elements. OFP is required to issue the report within 30 business days of the monitoring event. For elements rated as Meets Requirements with Recommendations, the report will include recommendations that require no further action on the part of the district. Where a Finding is issued, the report will describe the areas of non-compliance, the corrective actions required of the district and the deadlines by which those actions must be completed.

After receiving the Findings letter, the district will have 30 business days to submit the required documentation to resolve all findings. The district will provide the required documentation to OFP electronically, using SharePoint. The Lead Program Administrator will share a link to a Findings folder after the official Findings letter is sent. After the findings are resolved, the PSU will receive an official letter to signify the closing of the monitoring process.

# Cross-Program Consolidated Monitoring Review Agenda

PSU:

Onsite Date:

**Directions:** List one school per timeslot unless more than four schools are visited. **For Charter/Lab Schools, only complete the 11:00 AM school visit timeslot and the interviews schedule. Please finalize and return this completed template to your lead Program Administrator no later than one week prior to the on-site visit date.**

## **SCHOOL VISITS:**

- **8:00 AM – 8:40 AM (Selected School #1)**

\*School Name / Address / Phone Number

- **9:00 AM – 9:40 AM (Selected School #2)**

\*School Name / Address / Phone Number

- **10:00 AM – 10:40 AM (Selected School #3)**

\*School Name / Address / Phone Number

- **11:00 AM – 11:40 PM – (Selected School #4 OR Charter/Lab School Name)**

\*School Name / Address / Phone Number

## **INTERVIEWS (afternoon)**

Interview Address - one location: \*Building Name / Address / Phone Number

- 1:00 – 1:50 – Parents
- 2:00 – 2:50 – Teachers
- 3:00 – 3:50 – Principals (for Charter/Labs, principals and central office are one meeting)
- 4:00 – 4:45 –FPMS team meeting/review of notes Central Office Leadership
- 4:45 – 5:00 - Central Office Staff Exit Conference (includes staff selected by the district)

## **NOTES:**

- *The schedule for the selected Title I school visits and interview groups is determined by the district, based on the locations and start times of the selected schools and the scheduling needs of the parents, teachers and principals. However, the Central Office Leadership interview group must be the last interview slot prior to the Exit Conference.*
- *Please reserve a meeting space (with Wi-Fi accessibility) large enough for the OFP team to conduct interviews.*

