

All Things Monitoring

Federal Program Directors Summer Institute

Office of Federal Programs

July 26-28, 2022

Presenter

Alex Charles – Federal Programs Section Chief – West

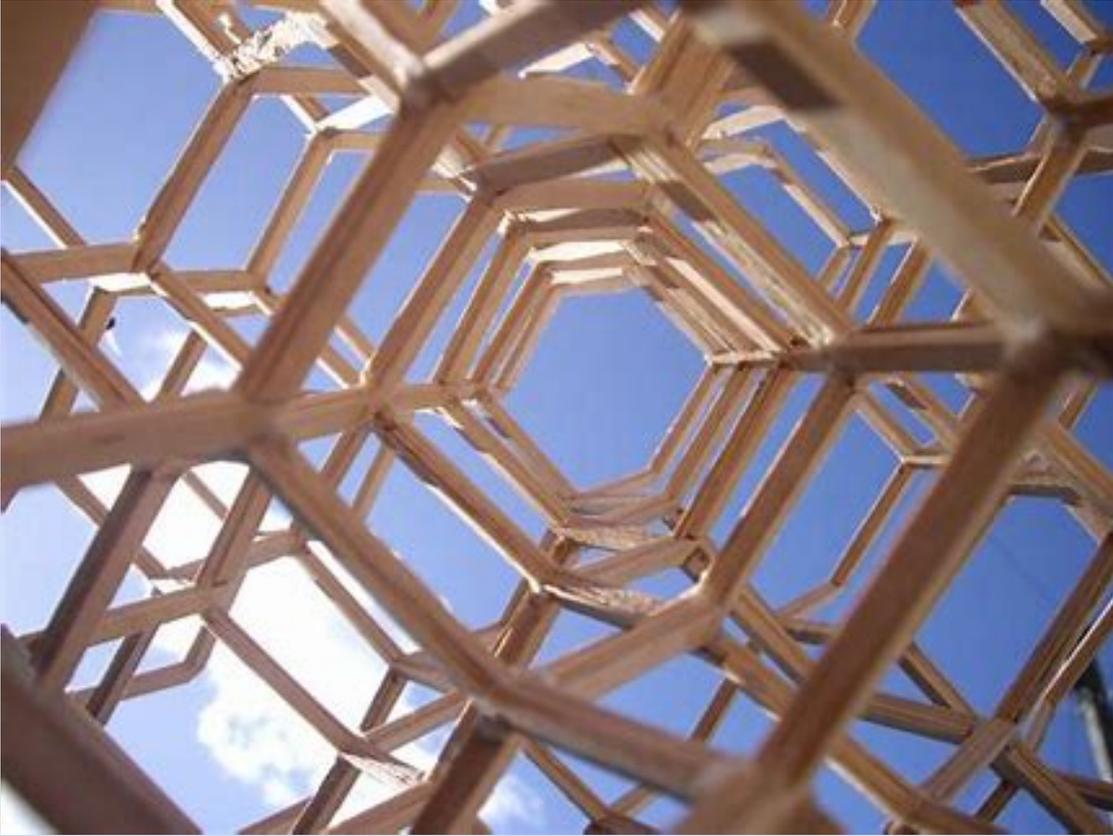
Monitoring Framework

Why do we monitor?

- Relationships
- Ensure that required components are in place
- A consolidated look at how all federal programs work together within your district/school
- Required by US Department of Education



Guidelines



- Based on a risk assessment
- Divided over a four-year time frame
- Minimum of a two-person team
- Standard Elements
- Standard Set of Questions

Risk Assessment

- Amount of Title I funds
- Years since last monitored
- Number of federal programs
- Number of findings
- Percentage of CSI Schools
- Years Federal Program Director and CFO has been in place



Monitoring Feedback



- <https://forms.office.com/r/ANpmRT1j2J>

**Cross-Program
Consolidated Monitoring
4- Year Cycle (2021-2025)**

Organization and Record Keeping

<https://www.dpi.nc.gov/districts-schools/federal-program-monitoring>

New Monitoring Schedule:

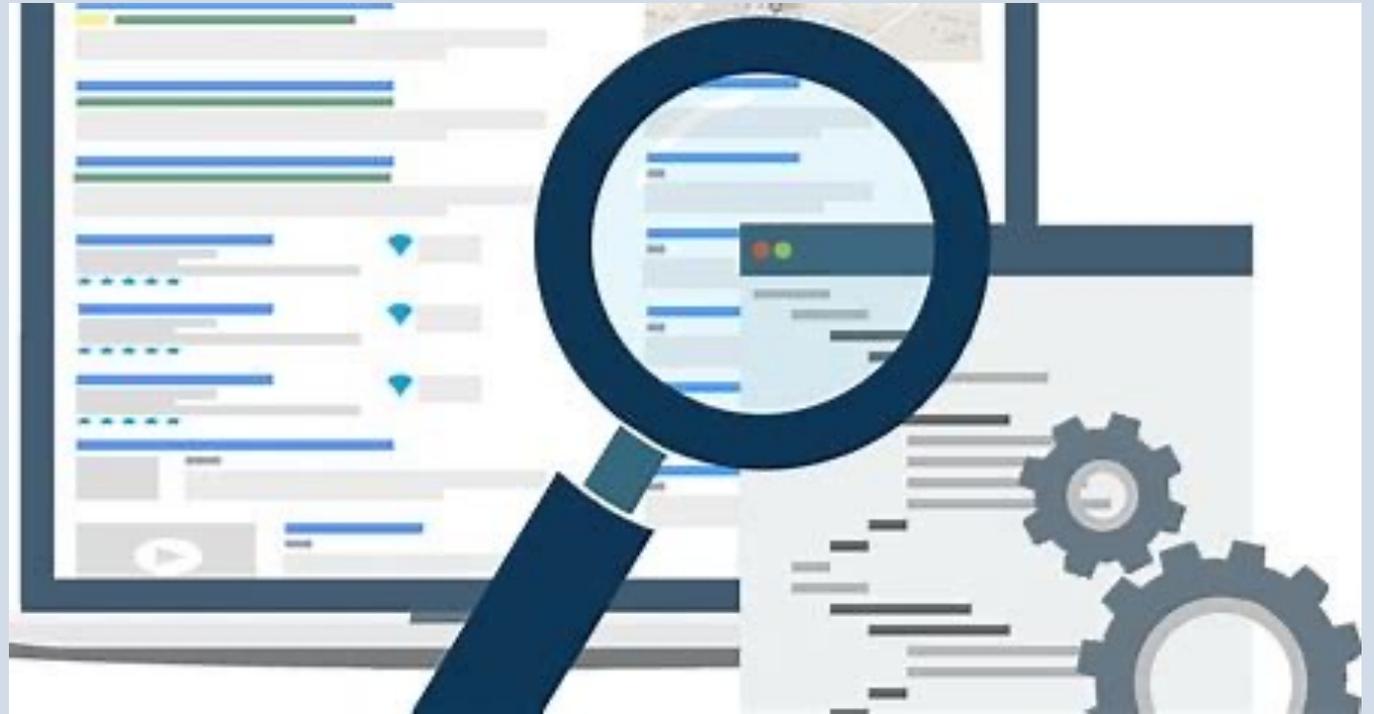
- Notification Letter – 30 calendar days prior to monitoring event
- Documents Submitted to PA – documentation due by 5:00 pm the Thursday prior to monitoring event week – must be in electronic format – submitted through SharePoint Link
- Monitoring Event:
 - ✓ Receipt of all District/Charter/Lab documentation for review by PA (Thursday week before visit)
 - ✓ Document review
 - ✓ Onsite school visits, interviews, and closing meeting (Thursday)
 - ✓ Report preparation (Friday - Following Monday)
 - ✓ Draft report submitted to FPMS Supervisory Team, modification of report (if required), & final supervisory approval

New Monitoring Schedule:

- Final Report: final report issued to Superintendent & copied to the Federal Program Director within 11 business days of the close of the monitoring event
 - ✓ *Final Report Issued by Dr. Townsend/ Tina Letchworth, copied to Section Chief and PA*
 - ✓ *It is the LEA / Charter Federal Program Director's responsibility to distribute to other applicable individuals and programs at the LEA / Charter level*
- Disclaimer: While it is our intention to meet the 11 business day report goal, within the State Plan the timeline remains at 30 business days. The 11 business day goal is OUR intention to provide a more rapid turnaround time to our stakeholders in the LEAs and Charters. **This improved timeline is self-imposed*
- LEAs & Charters still will still have 30 business days to respond to “findings” within the formal written report

Monitoring Instrument

- [Consolidated Monitoring Teamplate](#)



Monitoring Issues

- School-Parent Compacts
- Consultation (PFE policy, SIPs, PACs, MEP, EL Standards/Program, etc.)
- Notification Letters (CSI/TSI)
- Parent and Family Engagement Policy/Activities
- MOU with Head Start
- Agendas/Minutes/Sign-in Sheets

Looking Ahead

- Things to consider
 - How do we know the funds are making a difference?
 - Are we offering appropriate technical assistance through the process?
 - Is one visit every four years enough?



Consolidated Monitoring Feedback

ESSER Monitoring

30 Day Prior Notice

- The ESSER monitoring review is conducted on the following grants:
 - CARES Act, ESSER I and GEER: PRCs 163, 164, 165, 166, 168, 169, 170;
 - CRRSA Act, ESSER II: PRCs 171, 172, 173, 174, 176, 178;
 - ARP Act, ESSER III: PRCs 181, 182; and
 - Other federal grants as allotted: PRCs 191, 192, 193, 195, 197, 202, 203 and 205
- PSUs must provide specific requested grant documentation to FPMS by 5:00 p.m. on the specified date.
- A virtual interview with key personnel from your PSU will take place to learn more about your implementation of the federal grants.

Monitoring Timeline



Pre-Monitoring Meeting

- Purpose: To prepare!
- Overview
- Resources and tips
- For additional questions, please visit the following link: [ESSER-GEER MONITORING](#)
 - [ESSER-GEER Monitoring Overview](#)
 - [Notes on Sharing Documents](#)

Documentation for Monitoring



Element Overview

| Element | Main Documentation “Look Fors” |
|-----------------------------------|--|
| Element 1 | Are you doing the activities that were approved? |
| Element 2 | Are you measuring the impact of the activities? |
| Element 3 | Do your budget and expenditures support your approved plans? |
| Element 4 (<i>Districts</i>) | Did you notify private schools about Equitable Services and provides services as needed? |

Element 1

All plans for expenditure of ESSER-GEER funds have been approved by FPMS and are being or have been implemented by the PSU.

1. What's allowable?
 - Connection and justification tied to COVID-19
2. Who should be included in planning process?
 - Effective communication
3. How often should I amend, and where?



Element 1

Budget Status

Current Budget Status

| Budget Status | Date of Status | Modified by |
|---------------|---------------------|---------------|
| Approved | 04/14/2022 04:45 PM | Admin, NCCCIP |

Budget History

Show Data Sent to LEA

| Date | Status | Sent to LEA | Modified By |
|-------------------|--------------------|-------------------------------------|----------------|
| 4/14/2022 4:45 PM | Approved | <input checked="" type="checkbox"/> | Admin, NCCCIP |
| 4/14/2022 9:37 AM | Approved (Pending) | | Anderson, Nick |
| 4/13/2022 1:13 PM | Received | | Admin, NCCCIP |

Application Status

Application Status: **NCDPI American Rescue Plan Act-ESSER III Division Administrator Approved**

Change Status To: [Revision Started](#)

[View All Status/Comments](#)

| Attention Needed | Date | User | Status (S)/Comment (C) |
|--------------------------|-----------------------|-----------------|--|
| | 4/14/2022 10:37:12 AM | Tina Letchworth | Status changed to 'NCDPI American Rescue Plan Act-ESSER III Division Administrator Approved'. |
| | 4/14/2022 9:46:34 AM | Nick Anderson | Status changed to 'NCDPI American Rescue Plan Act-ESSER III Program Administrator Approved'. |
| <input type="checkbox"/> | 4/14/2022 9:46:21 AM | Nick Anderson | The amended carryover budget in the continuation application that has been submitted within BAAS and the amended FY 2022 – ARPA (American Rescue Plan Act) – ESSER III Application (PRC 181) within CCIP have been approved. This approval reflects programmatic allowability of strategies only. In the event of a fiscal audit, it is the responsibility of the district to provide documentation that demonstrates the strategy is for the prevention of, is in response to, or will reduce the spread of Coronavirus and is the most cost-effective way to address the problem. Any capital projects must adhere to all guidelines and requirements of capital projects. Dr. Nick Anderson ESSER Program Administrator Northwest Region Federal Programs NC Department of Public Instruction nick.anderson@dpi.nc.gov |



Element 1

- New line items MIGHT require an amendment (sometimes not) in the grant details.
- Change justification alone will not suffice.

000 - School Level Expenditures

| View | Type | Funding | Purpose | Object | Local | 503 | Budget Amount | Amendment Amount | Revised Amount | Change Justification |
|---|--------|---------|---------|--------|-------|-----|---------------|------------------|----------------|--------------------------------|
|  | Other | 3 | 5110 | 162 | 000 | 00 | \$0.00 | \$180,000.00 | \$180,000.00 | budget transfer only, transfer |
|  | Other | 3 | 5110 | 211 | 000 | 00 | \$0.00 | \$13,770.00 | \$13,770.00 | |
|  | Other | 3 | 5110 | 221 | 000 | 00 | \$0.00 | \$42,750.00 | \$42,750.00 | |
|  | Salary | 3 | 5310 | 131 | 000 | 00 | \$210,000.00 | \$0.00 | \$210,000.00 | |
|  | Other | 3 | 5310 | 211 | 000 | 00 | \$16,065.00 | \$0.00 | \$16,065.00 | |



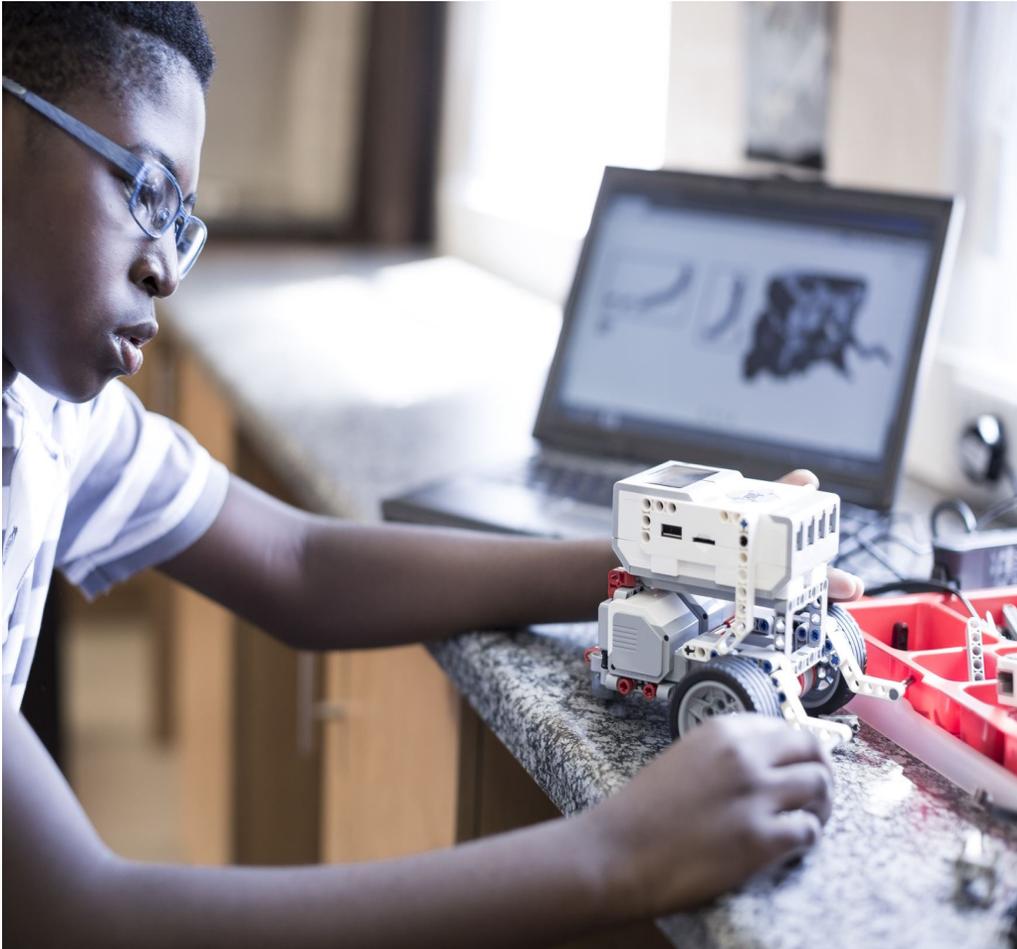
Element 2

Monitoring for Effectiveness

- Activities are well defined for each PRC
- Outputs and intended outcomes have been communicated to all stakeholders
- Persons responsible for monitoring the fidelity of implementation for each activity have been designated
- Monitoring protocol(s) and evaluation tool(s) have been shared with all stakeholders



Documentation: Evidence, Artifacts, and Examples*



- Inventory Data
- Aggregate Human Resources Data
- Redacted Treatment Logs
- Job Descriptions
- NCStar Reports
- ESSER Planning Agendas
- Nutrition Data
- Stakeholder Surveys
- PD Evaluations and PD Sign-in Sheets
- Attendance Data
- Achievement Data
- Perception Surveys
- Monthly Budget Reports
- Aggregate COVID-19 Data
- BOE Agendas
- Maintenance Schedules
- Transportation Reports

*Note: This list is not exhaustive

Element 2: Interview Questions

For each PRC:

- Briefly describe how ESSER grant activities in your PSU are being monitored.
- Which staff member(s) are responsible for monitoring, analyzing and providing feedback to leadership at the school and PSU level once data is collected and analyzed?
- Is a formal monitoring report prepared and shared with stakeholders? If so, how often is information shared with stakeholders?
- Describe the types of monitoring instruments/tools that are being or will be used (surveys, interviews, treatment logs, sign-in sheets, assessments, learning management platform dashboards, etc.) to measure the effectiveness and fidelity of grant implementation
- What changes or adjustments have been made; if any, to ESSER grant(s) implementation based on evaluative data or feedback from stakeholders? Please be specific.
- How will ESSER monitoring data be used to promote student achievement and inform PSU and local Board of Education decision-making?
- At this stage in grant implementation, is sustainability being discussed and by which PSU stakeholders?
- Based on PSU monitoring of grant effectiveness, if your PSU could sustain only one major activity, which one would be sustained and why?

Element 3

Overview:

The approved budgets and expenditures support the plans.

Spending aligns with the approved budgets and plans.

Documentation:

| PRC 170 - BUDGET AND EXPENDITURES | | | | | | | 4/30/2021 | |
|--|------|------|-----|-----|----------------------|--------------------------|--------------------|-------------------|
| Description | FUND | PURP | PRC | OBJ | Budget | Year-to-date transaction | Balance | |
| | | | | | Total PRC 170 | \$46,730.80 | \$42,026.81 | \$4,703.99 |
| STIPEND-ADDTL RESP | 3 | 5840 | 170 | 198 | 16,800.00 | 15,482.65 | 1,317.35 | |
| SOCIAL SECURITY | 3 | 5840 | 170 | 211 | 1,285.20 | 1,184.42 | 100.78 | |
| RETIREMENT | 3 | 5840 | 170 | 221 | 3,645.60 | 3,359.74 | 285.86 | |
| CONTRACTED SERVICES | 3 | 5840 | 170 | 311 | 25,000.00 | 22,000.00 | 3,000.00 | |
| SUPPLIES AND MATERIALS | 3 | 5840 | 170 | 411 | 4,000.00 | 3,951.00 | 49.00 | |

Element 3

Things to Consider:

- Not a fiscal audit
- Don't submit
 - Account history reports or budget spreadsheets that don't include purpose codes, object codes, expenditures, and remaining balances.
- Work with your Finance Officer to ensure that:
 - The report is recent and up to date
 - That spending aligns with the approved activities in the grant application
 - That spending matches the approved budget line items.

Element 4: Equitable Services (Applies to ESSER I only)

Equitable Services

- **All activities must be completed/encumbered by September 30, 2022 for ESSER I PRCs.**
- **Districts must recoup any property acquired by Private Schools from ESSER I funds.**

Charter Monitoring – Focus on the School

- Important to remember:
 - 1. Review the application often to make sure school leadership knows the “what”, “when”, “who” and “by when”
 - 2. Make sure that the activities listed in the application are being implemented
 - 3. If the activities have changed:
 - Amend the application
 - Amend the budget
 - Let folks know by:
 - Adding a comment in the history log
 - Sending a short email to the Program Administrator

Charter Monitoring continued

- 4. Make sure to schedule a Pre-monitoring session with Program Administrator
- 5. Document, Document, Document – even if the Charter Organization is also keeping the documentation, it is best practice to have copies for folder creation required for monitoring

ESSER Resources

Allotment Policies:

[ESSER PRC COVID Allotment Policy Manual](#)

NCDPI Links:

- [ESSER Compliance](#)
- [ESSER Monitoring](#)
- [Federal Requirements for Federally Funded Construction Activity Guide](#)
 - Construction Project Questions? Contact Shirley McFadden (Shirley.McFadden@dpi.nc.gov)

Planning Resources:

- [Chiefs for Change ESSER Planning Workbook](#)
- US Department of Education COVID-19 ESSER Handbooks
 - [Volume I](#)
 - [Volume II](#)
 - [Volume III](#)

ESSER Monitoring Feedback



North Carolina Department of
PUBLIC INSTRUCTION

Office of Federal Programs Summer Institute Survey-Thursday July 28, 2022

