

Office of the State Superintendent of Education

Division of Systems and Supports, K-12



Monitoring Guidance for Federal Grants

Fall 2017

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Monitoring Process Overview

OSSE's risk-based monitoring process is designed to ensure that local education agencies (LEAs) or other subrecipients meet the requirements of federal and local laws and regulations, as applicable. In alignment with federal regulations and OSSE's *Subrecipient Monitoring Policy* issued April 2016, OSSE's monitoring approach is risk-based and outcome oriented.

The purpose of these guidelines is to provide guidance on OSSE's risk-based monitoring process in order to support subrecipients in their planning and implementation efforts over the 2017-18 school year. Please note that for grants authorized under the Elementary and Secondary Education Act (ESEA), OSSE will monitor 2016-17 school year compliance with grant requirements under the ESEA as previously amended by the No Child Left Behind Act (NCLB). Beginning in the 2017-18 school year, subrecipients will transition to the requirements under the ESEA as amended by the Every Student Succeeds Act (referred to herein as ESSA). The 2018-19 monitoring cycle will review subrecipient compliance with ESSA.

I. COMPLIANCE MONITORING¹

Each year, OSSE conducts on-site and desktop compliance monitoring for a select group of subrecipients, based on a calculation of risk as aligned with OSSE's *Subrecipient Monitoring Policy* (See Appendix, p. 34). This process includes record reviews, document reviews, and interviews which are intended to identify noncompliance, assess progress toward federal and local targets, and provide recommendations intended to support continuous improvement. OSSE's risk-based monitoring takes two forms: 1) on-site monitoring and 2) desktop monitoring.

a. On-Site Monitoring

On-site monitoring is a process by which selected subrecipients receive an on-site visit from OSSE's consolidated monitoring team made up of selected grant managers from OSSE's Division of Systems and Supports, K-12. This team completes a comprehensive document review, stakeholder interviews, fiscal examination and follow-up, including technical assistance, if needed. The process is designed to identify noncompliance in order to assist subrecipients in making progress toward improving educational results and functional outcomes for all students. On-site compliance monitoring also allows OSSE to determine whether OSSE, as the state education agency (SEA), has implemented oversight strategies that have resulted in qualitative and quantitative improvements, and

¹ Throughout this Monitoring Guidance, any time period which references that an activity or event will occur or be due within a period of "days" should be interpreted to mean calendar days, not business days.

to formulate specific, tailored actions to help subrecipients further accelerate outcomes.

On-site monitoring will follow a series of defined steps for the 2017-2018 year:

- Identification for monitoring by OSSE
- Notification of monitoring selection by OSSE (at least 30 days before the visit)
- Completion of pre-site activities: documentation submission and preparatory site visit and/or phone conference (OSSE and subrecipient)
- On-site monitoring visit (OSSE and subrecipient)
- Issuance of preliminary monitoring report by OSSE (within 70 days of visit)
- Issuance of final monitoring report by OSSE (within 90 days of visit)
- Submission of Corrective Action Plan (CAP) by subrecipient, as applicable
- Correction of noncompliance by subrecipient
- Verification of correction of noncompliance by OSSE
- Closure of findings of noncompliance by OSSE

Step 1: Identification for Monitoring

OSSE will consider the following risk assessment criteria when determining the monitoring rotation and focus areas. *Please note that other program-specific criteria may also be considered at the discretion of the respective grant manager.*

- Results from the required single audit required by 2 CFR 200, subpart F
- Higher grant award totals
- Failure to timely drawdown grant funds
- Findings as a result of any IDEA complaints filed against the subrecipient
- ESEA 2016-2017 Accountability status of the LEA's schools (i.e., Focus and/or Priority)
- IDEA, Part B determination level (i.e., Needs Assistance or Needs Intervention)
- Unresolved noncompliance from previous monitoring reviews and audits
- Dates of most recent on-site monitoring visits
- Additional concerns raised by individual grant managers
 - Late reporting/late applications (e.g., expenditures, status reports, progress reports)
 - Failure to submit required data
 - Failure to adhere to terms and conditions set forth in the Grant Award Notice (GAN)
 - Grant funds withheld or revoked
 - Special conditions imposed on grant award
 - Subrecipient prior experience with grant

Step 2: Notification of On-Site Monitoring Selection

Subrecipients will be notified by electronic mail of their selection for monitoring at least four weeks in advance of the proposed monitoring visit. The letter will include:

- The subrecipient risk designation level
- The purpose of the visit and planned activities

- The proposed dates for the subrecipient's submission of pre-site documentation
- The proposed date for the pre-site visit meeting or phone conference
- The proposed date for the on-site visit
- The grants subject to monitoring
- A copy of OSSE's monitoring tool, including evidence required for each compliance area

Subrecipients are expected to plan as soon as possible for the on-site monitoring visit. For example, as soon as possible after notification of the visit, subrecipients should plan for the accommodations and time needed for staff, family and student interviews, and for OSSE record reviews, as requested.

Step 3: Pre-site Activities

OSSE offers subrecipients an opportunity to learn more about the monitoring visit during a pre-site meeting or phone conference. During this meeting or telephone conference, subrecipient and OSSE staff will have an opportunity to discuss the purpose of the on-site visit, confer about the agenda for the on-site visit, agree on logistics, and discuss any questions related to OSSE's monitoring tool.

Step 4: On-site Monitoring Visit and Activities

Following its notification letter to each selected subrecipient and the subsequent pre-site visit meeting or phone conference, OSSE will conduct an on-site visit to each subrecipient. The on-site review is designed to determine if the subrecipient's program and services are compliant with local and federal regulations and the subrecipient's technical assistance needs. If a subrecipient has more than one campus or school, OSSE may conduct its on-site visit at multiple locations. Regardless of the number of school sites OSSE chooses to visit, only one monitoring report will be issued to the subrecipient.

During the on-site visit, OSSE will engage in the following activities:

- Staff Interviews: OSSE may interview the subrecipient's network/district office or school administrators, program coordinators, general education teachers, special education coordinator, special education teachers, related service providers and the budget director. Interview questions align with the monitoring standards and will be used to inform and support data gathered from other monitoring activities.
- Student Interviews: OSSE may choose to interview students to better understand compliance and performance in the subrecipient. In some cases, students may be selected by OSSE according to specific information. The subrecipient will be informed in advance of the names of any students selected by OSSE for an interview. In either case, the subrecipient is responsible for coordinating the interviews with students. If OSSE selects students who are involved in the Child and Family Services Administration system, incarcerated, in the custody of the Department of Youth Rehabilitation Services, and/or receive services through the Department of Mental Health or other District of Columbia (District) agencies,

OSSE will take steps to coordinate its interviews with those agencies. Interview questions align with the monitoring standards and will be used to inform and support data gathered from other monitoring activities.

- *Parent/Family/Guardian Interviews:* OSSE may choose to interview parents/family/guardians of students to better understand compliance and performance in the subrecipient. In some cases, parents/family/guardians of students may be selected by OSSE according to specific information. If OSSE selects parents/family/guardians of students who are involved in the Child and Family Services Administration system, incarcerated, in the custody of the Department of Youth Rehabilitation Services, and/or receive services through the Department of Mental Health or other District agencies, OSSE will take steps to coordinate its interviews with those agencies. Interview questions align with the monitoring standards and will be used to inform and support data gathered from other monitoring activities.
- *Classroom Observations:* OSSE may observe classrooms or lessons in which students are being educated. The purpose of the observation is to gain a better understanding of how instruction or support services are delivered. Data collected through classroom observations will be used to inform and support data gathered from other monitoring activities. Findings of noncompliance will not be made based solely on observations.
- *Fiscal Monitoring Activities:* Fiscal monitoring includes document and record reviews, interviews and/or a demonstration of financial processes and systems. Items to be assessed can be found in the fiscal section of the compliance monitoring tool. Subrecipients will be informed in advance of materials that must be provided.
- *Individual Student-Level Monitoring:* OSSE may choose to conduct individual student-level monitoring. Individual student-level monitoring may consist of interviews with all teachers and service providers associated with a student; interviews with the student (if appropriate) and the student's parent or guardian; and an observation of the classrooms and programs to which the student is assigned. Information and findings regarding the individual student-level monitoring will be included in the on-site compliance monitoring report. Subrecipients will be informed in advance if individual student-level monitoring will occur during the on-site visit.

Step 5: Monitoring Report Issued

After the on-site visit, OSSE will issue two monitoring reports to subrecipients: 1) the preliminary monitoring report and 2) the final monitoring report. Each report will provide determinations of compliance, determinations of noncompliance, and recommendations. The reports will also delineate corrective actions and improvement activities necessary for the subrecipient to correct the noncompliance. These reports will align with items in the monitoring tool. Further descriptions about each report are detailed below.

- ***Preliminary monitoring report:*** Within seventy (70) days of the on-site visit, OSSE will release the preliminary monitoring report summarizing the results of the monitoring visit. Following the release of the preliminary monitoring report, subrecipients will have ten (10) days to review the report and share any additional information that may demonstrate compliance.
- ***Final monitoring report:*** Within ninety (90) days of the on-site visit, OSSE will release the final report summarizing the results of the monitoring visit. Because these release procedures provide subrecipients with an opportunity to respond to compliance determinations, **OSSE will not accept appeals of monitoring findings after the release of the final monitoring report.** Any documentation submitted after the release of the final monitoring report will be used to demonstrate correction of the identified noncompliance.

Step 6: Correction of Noncompliance

In the monitoring report, OSSE will provide a list of required corrective actions and improvement activities to address noncompliance. If appropriate, subrecipients may also be required to develop a CAP within thirty (30) days of issuance of the final monitoring report from OSSE.

Corrective actions and improvement activities may be relatively uncomplicated and non-time consuming (e.g. correcting a data error) or may be multifaceted and involved (e.g. developing policy and procedures for ensuring appropriate discipline processes). Simple corrective actions or improvement activities may be accomplished by one staff member or through a routine meeting, while more complex corrective actions or improvement activities may require extensive analysis and collaboration with the subrecipient leadership and/or Boards of Directors. For example, a CAP may be necessary when there are multiple steps to accomplish in order to reach compliance. A CAP lays out each action step, a target date for completion, and a subrecipient staff member responsible for the action item. A copy of the Monitoring Tool and CAP template may be found at the end of this document in the Appendix.

OSSE is committed to providing technical assistance to subrecipients as they address any findings of noncompliance and formulate CAPs. All subrecipients that are issued a CAP must participate in technical assistance with the applicable grant manager, as needed. Grant managers are available to support subrecipients as they strive toward correction of noncompliance and improvement of educational results and functional outcomes for students. For subrecipients that receive findings of noncompliance under the Individuals with Disabilities Education Act (IDEA), OSSE may conduct further review of the subrecipient's file(s) to determine compliance. For more information about this process, review the [OSSE Specialized Education Monitoring and Compliance Manual](#).

Step 7: Verification of Correction of Noncompliance

After the subrecipient has corrected identified noncompliance, OSSE will verify the correction of noncompliance as required by the related federal grant.

Step 8: Closure of Findings of Noncompliance

The subrecipient will be notified in writing that the finding of noncompliance is closed once the finding has been completely addressed and compliance has been achieved. Subrecipients should continue to conduct reviews of records and activities to identify any areas of need that may arise before future OSSE monitoring activities.

b. Desktop Monitoring

Desktop monitoring is a tiered monitoring approach that could be as specific as a request for documentation supporting a single reimbursement request or as expansive as a request for a series of quarterly reports or supporting documentation across the grant period. Subrecipients that participate in desktop monitoring will be required to submit evidence of program implementation and program administration documents for review. Any subrecipient selected for desktop monitoring will be provided at least four weeks to compile and submit the requested documentation to OSSE.

Desktop monitoring will follow a series of defined steps for the 2017-2018 year:

- Identification for monitoring by OSSE
- Notification of monitoring selection by OSSE (at least 30 days before the visit)
- Completion of pre-review activities: documentation submission and preparatory phone conference (OSSE and subrecipient)
- Desktop monitoring review (OSSE)
- Issuance of preliminary monitoring report by OSSE (within 70 days of visit)
- Issuance of final monitoring report by OSSE (within 90 days of visit)
- Submission of Corrective Action Plan (CAP) by subrecipient, as applicable
- Correction of noncompliance by subrecipient
- Verification of correction of noncompliance by OSSE
- Closure of findings of noncompliance by OSSE

Step 1: Identification for Monitoring

OSSE will consider the following risk assessment criteria when determining the monitoring rotation and focus areas for subrecipients. *Please note that other program-specific criteria may also be considered at the discretion of the respective grant manager.*

- Results from the required single audit required by 2 CFR 200, subpart F
- Higher grant award totals
- Failure to timely drawdown grant funds
- Findings as a result of any IDEA complaints filed against the subrecipient
- ESEA 2016-2017 Accountability status of the LEA's schools (i.e., Focus and/or Priority)
- IDEA, Part B determination level (i.e., Needs Assistance or Needs Intervention)
- Unresolved noncompliance from previous monitoring reviews and audits
- Dates of most recent on-site monitoring visits
- Additional concerns raised by individual grant managers

- Late reporting/late applications (e.g., expenditures, status reports, progress reports)
- Failure to submit required data
- Failure to adhere to terms and conditions set forth in the Grant Award Notice (GAN)
- Grant funds withheld or revoked
- Special conditions imposed on grant award
- Subrecipient prior experience with grant

Step 2: Notification of Desktop Monitoring

Subrecipients will be notified by electronic mail of their selection for desktop monitoring at least four weeks in advance of the proposed monitoring review period. The letter will include:

- The purpose of the desktop monitoring
- The proposed submission date for required documentation
- A copy of OSSE's monitoring tool including specific evidence required for each compliance area
- A single point of contact available for coordinating all aspects of the monitoring activity

Step 4: Documentation Review

The OSSE monitoring team will conduct a desk review of subrecipient records and policies. This request may range from student discipline and attendance records to fiscal records. The review is designed to determine if the subrecipient's practices are compliant with federal and local laws, regulations, policies and procedures.

Step 5: Monitoring Report Issued

Within ninety (90) days of the desktop review, OSSE will issue two monitoring reports: 1) the preliminary monitoring report and 2) the final monitoring report. Each report will provide determinations of compliance, determinations of noncompliance, and recommendations. The reports will also delineate corrective actions and improvement activities necessary for correction of the noncompliance. These reports will align with items in the monitoring tool. Further descriptions about each report are detailed below.

- *Preliminary monitoring report:* Within seventy (70) days of the desktop review, OSSE will release the preliminary monitoring report summarizing the results of the desktop review. Following the release of the preliminary monitoring report, subrecipients will have ten (10) days to review the report and share any additional information that may demonstrate compliance.
- *Final monitoring report:* Within ninety (90) days of the desktop review, OSSE will release the final monitoring report summarizing the results of the desktop review. Because these release procedures provide subrecipients with an opportunity to respond to compliance determinations, **OSSE will not accept appeals of monitoring findings after the release of the final monitoring report.** Any documentation submitted after

the release of the final monitoring report will be used to demonstrate correction of the identified noncompliance.

Step 6: Correction of Noncompliance

Contained within the monitoring report, OSSE will provide a list of required corrective actions and improvement activities to address noncompliance. If appropriate, subrecipients may also be required to develop a CAP within thirty (30) days of issuance of the final monitoring report from OSSE.

Corrective actions and improvement activities may be relatively uncomplicated and non-time consuming (e.g. correcting a data error) or may be multifaceted and involved (e.g. developing policy and procedures for ensuring appropriate discipline processes). Simple corrective actions or improvement activities may be accomplished by one staff member or through a routine meeting, while more complex corrective actions or improvement activities may require extensive analysis and collaboration with the subrecipient leadership and/or Boards of Directors. For example, a CAP may be necessary when there are multiple steps to accomplish in order to reach compliance. A CAP lays out each action step, a target date for completion, and a subrecipient staff member responsible for the action item. A copy of the Monitoring Tool and CAP template may be found at this end of this document in the Appendix.

OSSE is committed to providing technical assistance to subrecipients as they address any findings of noncompliance and formulate CAPs. All subrecipients that are issued a CAP must participate in technical assistance with the applicable grant manager, as needed. Grant managers are available to support subrecipients as they strive toward correction of noncompliance and improvement of educational results and functional outcomes for students.

Step 7: Verification of Correction of Noncompliance

After the subrecipient has corrected identified noncompliance, OSSE will verify the correction of noncompliance as required by the related federal grant.

Step 8: Closure of Findings of Noncompliance

The subrecipient will be notified in writing that the finding of noncompliance is closed. Subrecipients should continue to conduct reviews of records and activities to identify any areas of need that may arise before future OSSE monitoring activities.

II. Nonpublic School Monitoring for IDEA Compliance

Pursuant to the Individuals with Disabilities Education Act (IDEA), 34 C.F.R. § 300.325, and Section 2808 of the District of Columbia Municipal Regulations (DCMR) Title 5-A, Chapter 28 (5 DCMR §A-2808.4), LEAs are responsible for ensuring that students attending nonpublic schools receive a free appropriate public education in the least restrictive environment and for maintaining compliance with regulatory requirements. OSSE monitors sending LEA's compliance with these requirements

through desktop monitoring activities. The purpose of the desktop monitoring review is to ensure compliance with regulatory requirements in the following areas:

1. Initial evaluations and reevaluations;
2. Eligibility determinations;
3. Individualized Education Program (IEP) development and implementation;
4. Positive behavior supports and emergency behavioral interventions; and
5. Attendance and truancy.

OSSE's IDEA Part B desktop review of the District of Columbia Public Schools' nonpublic student files will take place in October 2017, January 2018, and April 2018. OSSE will conduct a desktop review of the LEA's IDEA Part B nonpublic student files aligned with the OSSE risk-based monitoring calendar and will notify LEAs a minimum of four weeks in advance. In preparation for the review, LEAs are encouraged to take proactive measures to ensure compliance by conducting a self-review of student files prior to OSSE's review.

Following the on-site and nonpublic school monitoring, OSSE will provide the LEA with two reports: 1) a Consolidated Monitoring Report (detailed above in Section I) which will outline information gathered through the on-site visit or desktop monitoring process, if applicable; and 2) a report summarizing the information gathered from the non-public monitoring process via the District of Columbia Corrective Action Tracking System (DC CATS)/EasyIEP. If the information gathered reveals noncompliance, OSSE will identify noncompliance and prescribe corrective actions that must be taken to correct the noncompliance. For any identified noncompliance under risk-based monitoring, LEAs must ensure correction of the noncompliance within the timelines outlined on the monitoring report. For nonpublic monitoring, all identified noncompliance must be corrected as soon as possible but in no case later than one year after identification of the noncompliance.

	Tier I Low Risk	Tier II Medium Risk	Tier III High Risk
Selection Methodology	Risk analysis in all applicable areas.		
Risk Indicators	<ul style="list-style-type: none"> • Results from the required single audit required by 2 CFR 200, Part F • Higher grant award totals • Failure to timely drawdown grant funds • Findings as a result of any IDEA complaints filed against the subrecipient • ESEA 2016-2017 Accountability status of the LEA's schools (i.e., Focus and/or Priority) • IDEA, Part B determination level (i.e., Needs Assistance or Needs Intervention) • Unresolved noncompliance from previous monitoring reviews and audits • Dates of most recent on-site monitoring visits • Other concerns (late reporting; late application submissions, failure to submit required data; failure to adhere to terms and conditions set forth in the Grant Award Notice (GAN); grant funds withheld or revoked) 		
Monitoring Experience	<p>No Desktop or On-Site Monitoring Any subrecipient falling within the low risk tier will not be required to participate in desktop or on-site monitoring activities under the risk-based model.</p>	<p>Desktop Monitoring Desktop monitoring is a tiered monitoring approach that could be as specific as a request for documentation supporting a single reimbursement request or as expansive as a request for a series of quarterly reports or supporting documentation across the grant period. Results are compiled into a single Consolidated Monitoring Report, and in some instances a corrective action plan may be required.</p>	<p>On-Site Monitoring On-site monitoring is a process by which selected subrecipients receive an on-site visit by OSSE's Coordinated Monitoring Team for a comprehensive document and record review, stakeholder interviews, fiscal examination and follow-up technical assistance, if needed. Results are compiled into a single Consolidated Monitoring Report, and in some instances a corrective action plan may be required.</p>
Pre-Site Conference Required	Not Applicable	May include a phone conference	Yes, either on-site or via phone conference

Grant Guidelines Summary

Overview

In 2015-2016, the Office of the State Superintendent of Education (OSSE) began applying a risk-based model for prioritizing the monitoring of subrecipients receiving K-12 federal and local grant funds. As a part of OSSE's ongoing commitment to reduce administrative burden on subrecipients and improve communication, OSSE has developed guidelines for subrecipients to use to better understand key federal and local grant monitoring requirements and considerations when subject to monitoring.

Grant programs included in risk-based monitoring

This year, the following grant programs will be included in OSSE's coordinated risk-based monitoring activities:

- Elementary and Secondary Education Act, as amended (ESEA), Title I, Part A: Improving Basic Programs Operated by Local Education Agencies
- ESEA, Title I, Part A: 1003(a) School Improvement Funds
- ESEA, Title I, Part A: 1003(g) School Improvement Grants (SIG)
- ESEA, Title I, Part D: Neglected, Delinquent and At-Risk Youth
- ESEA, Title II, Part A: Teacher and Principal Training and Recruiting Fund
- ESEA Title III, Part A: Language Instruction for Limited English Proficient and Immigrant Students
- ESEA, Title V, Part B: Charter Schools Program
- Title VII-B of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11431 et. seq.)
- Scholarships for Opportunity and Results Act (SOAR)
- Individuals with Disabilities Education Act (IDEA), Part B

This grant-by-grant summary provides the following information for each grant:

- Grant Name
- Legal Citation for Grant
- Grant Type
- Grant Purpose
- OSSE Monitoring Requirement
- Annual Subrecipient Reporting Requirements
- Web-Based Resources on Grant Program
- OSSE Contact

This past year, OSSE began transitioning subrecipient grant requirements to the requirements of the Every Student Succeeds Act (ESSA), which reauthorizes the ESEA. States are required to fully implement ESSA in the 2017-18 school year. These guidelines will be updated accordingly to reflect such changes in future monitoring cycles.

Title I, Part A: Improving the Academic Achievement of the Disadvantaged

Grant Name	Title I – Improving the Academic Achievement of the Disadvantaged
Legal Citation	Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, §§1111-1119, 1121-1122, 1124 – 1127 20 U.S.C. §§ 6301-6339, 6571-6578
Grant Type	Formula
Grant Purpose	The purpose of this grant is to ensure that all children have a fair, equal, and significant opportunity to obtain a high-quality education and reach, at a minimum, proficiency on challenging state academic achievement standards and state academic assessments.
OSSE Monitoring Requirement	<p>2 CFR §200.331(d)(1-3):</p> <p>All pass-through entities must:</p> <p>(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:</p> <p>(1) Reviewing financial and performance reports required by the pass-through entity.</p> <p>(2) Following-up and ensure that the subrecipient take timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.</p> <p>(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by §200.521 Management decision.</p>
Annual Subrecipient Reporting Requirements	<p>New or Significantly Expanding Public Charter School (NOSEPCS): Notification of the opening or significant expansion of charter schools via submission of the <i>New or Significantly Expanding Public Charter School Notification Form</i>.</p> <p>Maintenance of Effort (DCPS only): Maintenance of Effort refers to the need for each subrecipient, as a condition of receiving funds under any "covered program" (identified in the ESEA as amended by NCLB section 9101(13)), to have maintained in the previous fiscal year at least 90 percent of the level of State and local expenditures for K-12 education, in the aggregate or on a per-pupil basis, that the district expended in the second preceding fiscal year.</p> <p>Comparability Report (DCPS only): As provided in section 1120A(c) of the ESEA as amended by NCLB), in order for a subrecipient to demonstrate comparability</p>

	<p>of services and qualify to receive Title I, Part A funds, it must use State and local funds to provide services in Title I schools that, taken as a whole, are at least comparable to the services provided in schools that are not receiving Title I funds.</p>
<p>Web-Based Resources on Grant Program</p>	<p>This U.S. Department of Education website provides a thorough overview of strategies used to provide a fair and equal opportunity for high-quality education that includes laws, regulations, guidance, and FAQs: http://www2.ed.gov/programs/titleiparta/legislation.html</p> <p>This U.S. Department of Education guidance provides a thorough overview of schoolwide programs, how to conduct the comprehensive needs assessment, and performing a program evaluation/annual review of the programs: http://www2.ed.gov/policy/elsec/guid/designingswpguid.doc</p> <p>This U.S. Department of Education guidance provides an overview of the following topics: Maintenance of Effort, Comparability, Supplement, not Supplant, Carryover, Consolidating funds in schoolwide programs, and Grantback requirements: http://www2.ed.gov/programs/titleiparta/fiscalguid.pdf</p> <p>This non-regulatory guidance provides a thorough overview of State, LEA, and school responsibilities around parental involvement: http://files.eric.ed.gov/fulltext/ED484491.pdf</p>
<p>OSSE Contact</p>	<p>Ms. Giana Hutton Program Analyst Strategic Operations Cluster Division of Systems and Supports, K-12 202-478-5915 or Giana.Hutton@dc.gov</p> <p>Ms. Mildred Washington Program Analyst Strategic Operations Cluster Division of Systems and Supports, K-12 202-724-7870 or Mildred.Washington@dc.gov</p>

Title I, Part A: 1003(a), School Improvement Funds

Grant Name	Title I, 1003(a)
Legal Citation	<p>Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, §1003(a)</p> <p>20 U.S.C. 6301 et seq.</p>
Grant Type	Formula
Grant Purpose	<p>The purpose of this grant is to provide funding to LEAs with Priority and Focus schools to assist in meeting the progress goals in their school improvement plans and ultimately improve student performance.</p> <p>The purpose of this grant is to provide funding to LEAs with Priority and Focus schools to assist in meeting the progress goals in their school improvement plans and ultimately improve student performance. Rising Priority and Rising Focus schools are not eligible for 1003(a) funds. Priority schools that receive funding via the School Improvement Grant under 1003(g) will not receive an allocation under 1003(a). The 2017-18 school year will be the last year that Priority and Focus designations will be in place. In 2018-19, OSSE will issue new classifications aligned with the new accountability system.</p>
OSSE Monitoring Requirement	<p>2 CFR §200.331(d)(1-3):</p> <p>All pass-through entities must:</p> <p>(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:</p> <p>(1) Reviewing financial and performance reports required by the pass-through entity.</p> <p>(2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.</p> <p>(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 Management decision.</p>

Annual Subrecipient Reporting Requirements	N/A
Web-Based Resources on Grant Program	<p>Participating schools must either align their improvement strategies to the seven turnaround principles for school improvement, or must implement evidence-based practices as aligned with the Every Students Succeeds Act (ESSA). Focus schools must implement strategies that address the subject area and subpopulation for which the school was identified.</p> <p>Description of the seven turnaround principles for school improvement: http://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/OSS%2020%20percent%20webinar%20handout.pdf</p> <p>Guidance on implementing evidence-based strategies: https://osse.dc.gov/service/school-improvement-plans</p> <p>Description of Focus school interventions: http://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/OSS%2020%20percent%20webinar%20handout.pdf</p> <p>List of Priority and Focus Schools for 2016-2017: https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/List%20of%20Priority%20and%20Focus%20Schools%20for%20the%202016-17%20School%20Year.pdf.</p>
OSSE Contact	<p>Ms. Renu Oliver School Improvement Initiatives Manager Accountability, Performance and Support Cluster Division of Systems and Supports, K-12 (202) 741-5251 or Renu.Oliver@dc.gov</p>

Title I, Part A: 1003(g), School Improvement Grants (SIG)

Grant Name	Title I, Part A, School Improvement Grant (SIG)
Legal Citation	Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, §1003(g)
Grant Type	Competitive-Continuation
Grant Purpose	<p>The purpose of this grant is to support local educational agencies (LEAs) that demonstrate the greatest need for funds and the strongest commitment to use funds to provide adequate resources in order to substantially raise the achievement of students in their lowest-performing schools.</p> <p>LEAs may implement one of seven SIG models:</p> <ul style="list-style-type: none"> • Turnaround Model: The LEA replaces the principal and rehires no more than 50% of the staff; gives principals greater autonomy; and implements other prescribed and recommended strategies. • Restart Model: The LEA converts or closes and reopens a school under a charter school operator, charter management organization, or education management organization. • School Closure: The LEA closes the school and enrolls the students in other schools in the LEA that are higher achieving. • Transformation Model: The LEA replaces the principal (except in specified situations); implements a rigorous staff evaluation and development system; institutes comprehensive instructional reform; increases learning time and applies community-oriented school strategies; and provides greater operational flexibility and support for the school. • State-Determined School Improvement Model: An SEA may apply to ED to establish a state-determined intervention model as an alternative to the four federally-defined SIG models, and the LEA commits to implement the model. The only requirement from ED is that the model must be a whole-school reform model. • Evidence-Based Whole School Reform Model: The LEA implements an evidence-based whole school reform model that has at least one study that meets What Works Clearinghouse evidence standards with a statistically significant impact on student achievement or attainment. • Early Learning Intervention Model: The LEA offers full-day kindergarten, establishes or expands a high-quality preschool program, and prior to implementing the model, replaces the principal.
OSSE Monitoring Requirement	<p>2 CFR §200.331(d)(1-3):</p> <p>All pass-through entities must:</p>

	<p>(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:</p> <p>(1) Reviewing financial and performance reports required by the pass-through entity.</p> <p>(2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.</p> <p>(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 management decision.</p>
Annual Subrecipient Reporting Requirements	<p>Annual EdFacts reporting for SIG leading indicators</p> <p>Monthly progress reports</p>
Web-Based Resources on Grant Program	<p>The U.S. Department of Education’s School Improvement Grant website, including the Final Requirements and related guidance: http://www2.ed.gov/programs/sif/index.html</p>
OSSE Contact	<p>Ms. Christina Parrish School Improvement Grant Program Manager Accountability, Performance and Support Cluster Division of Systems and Supports, K-12 202.247.6390 or Christina.Parrish@dc.gov</p>

Title I, Part D: Neglected, Delinquent Youth

Grant Name	Title I, Part D – Neglected, Delinquent, and At-Risk Youth
Legal Citation	Elementary and Secondary Education Act of 1965, as amended, Title I, Part D, §§1401, 1402, 1411, 1412, 1413, 1414, 1415, 1416, 1417, 1418, 1419 20 U.S.C. §§ 6421-6472
Grant Type	Formula/Competitive
Grant Purpose	<p>The purpose of this grant is to support children and youth who are neglected, delinquent, or at-risk in order to:</p> <ul style="list-style-type: none"> • Improve educational services for children and youth who are neglected or delinquent so that they have the opportunity to meet challenging State academic content and achievement standards • Provide children and youth who are neglected or delinquent with services so that they can successfully transition from institutionalization to further schooling or employment • Prevent youth from dropping out of school and provide youth who have dropped out and youth returning from correctional facilities with a support system to ensure their continued education
OSSE Monitoring Requirement	<p>2 CFR §200.331(d)(1-3):</p> <p>All pass-through entities must:</p> <p>(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:</p> <p>(1) Reviewing financial and performance reports required by the pass-through entity.</p> <p>(2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.</p> <p>(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 Management decision.</p>
Annual State/Public Agency	Annual Report of Children in Institutions for Neglected or Delinquent Children,

<p>Reporting Requirements</p>	<p>Adult Correctional Institutions, and Community Day Programs for Neglected or Delinquent Children: The subrecipient must submit annually the Annual Report of Children in Institutions for Neglected or Delinquent Children, Adult Correctional Institutions, and Community Day Programs for Neglected or Delinquent Children which determines the level of funding for LEAs and State agencies responsible for providing free public education for neglected or delinquent children in institutions or community day programs.</p> <p>Consolidated State Performance Report (CSPR): The subrecipient must provide academic performance data for neglected or delinquent children in institutions or community day programs to ensure the proper application of grant funds towards ESEA goals.</p> <p>Maintenance of Effort (MOE): Maintenance of Effort refers to the need for each subrecipient, as a condition of receiving funds under any "covered program" (identified in the ESEA as amended by NCLB section 9101(13)), to have maintained in the previous fiscal year at least 90 percent of the level of State and local expenditures for K-12 education, in the aggregate or on a per-pupil basis, that the subgrantee expended in the second preceding fiscal year.</p>
<p>Web-Based Resources on Grant Program</p>	<p>The U.S. Department of Education provides a thorough overview of Title I, Part D programs strategies used to provide a fair and equal opportunity for high-quality education, transition services and dropout prevention services that includes laws, regulations, and guidance: https://www2.ed.gov/programs/titleipartd/legislation.html</p> <p>This U.S. Department of Education guidance provides a thorough overview of Title I, Part D requirements and provides suggestions for addressing many of the requirements: https://www2.ed.gov/policy/elsec/guid/nord.doc</p> <p>This U.S. Department of Education guidance provides an overview of ESEA Maintenance of Effort requirements, Comparability, Supplement, not Supplant, Carryover, Consolidating funds in schoolwide programs, and Grantback requirements: https://doe.sd.gov/ofm/documents/MOE_TitleI.pdf</p> <p>Through support of the U.S. Department of Education, the National Technical Assistance Center for the Education of Neglected or Delinquent Children and Youth (NDTAC) serves as a national resource center to provide direct assistance to States, schools, communities, and parents seeking information on the education of children and youth who are considered neglected, delinquent, or at-risk: https://www.neglected-delinquent.org/</p>
<p>OSSE Contact</p>	<p>Ms. Melissa Harper-Butler Program Analyst Special Programs Cluster Division of Systems and Supports, K-12 202-478-2409 or Melissa.Harper-Butler@dc.gov</p>

	<p>Ms. Alison Losey Program Analyst Special Programs Cluster Division of Systems and Supports, K-12 202-654-6110 or Alison.Losey@dc.gov</p>
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Title II, Part A: Preparing, Training, and Recruiting High Quality Teachers and Principals

Grant Name	Title II – Preparing, Training and Recruiting High Quality Teachers and Principals
Legal Citation	Elementary and Secondary Education Act of 1965, as amended, Title II, Part A, §§ 2122-2123 20 U.S.C. 6301 et seq.
Grant Type	Formula
Grant Purpose	The purpose of this grant is to support State educational agencies, LEAs, State agencies for higher education, and eligible partnerships in order to — (1) increase student academic achievement through strategies such as improving teacher and principal quality and increasing the number of highly qualified teachers in the classroom and highly qualified principals and assistant principals in schools; and (2) hold local educational agencies and schools accountable for improvements in student academic achievement.
OSSE Monitoring Requirement	2 CFR §200.331(d)(1-3) All pass-through entities must: (d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include: (1) Review financial and performance reports required by the pass-through entity. (2) Follow-up and ensure that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means. (3) Issue a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 Management decision.
Annual Subrecipient Reporting Requirements	New or Significantly Expanding Public Charter School (NOSEPCS): Notification of the opening or significant expansion of charter schools via submission of the <i>New or Significantly Expanding Public Charter School Notification Form</i> .
Web-Based Resources on Grant Program	This U.S. Department of Education website provides a thorough overview of strategies used to improve teacher and principal quality in addition to laws, regulations, guidance, and FAQs:

	<p>http://www2.ed.gov/programs/teacherqual/legislation.html</p> <p>This U.S. Department of Education guidance provides a thorough overview of professional development, federal awards, use of funds, and private school participation: http://www2.ed.gov/programs/teacherqual/guidance.doc</p>
<p>OSSE Contact</p>	<p>Ms. Giana Hutton Program Analyst Strategic Operations Cluster Division of Systems and Supports, K-12 202-478-5915 or Giana.Hutton@dc.gov</p> <p>Ms. Mildred Washington Program Analyst Strategic Operations Cluster Division of Systems and Supports, K-12 202-724-7870 or Mildred.Washington@dc.gov</p>

Title III, Part A: Language Instruction for Limited English Proficient and Immigrant Students

Grant Name	Title III – Language Instruction for English Learners and Immigrant Students
Legal Citation	Elementary and Secondary Education Act of 1965, as amended, Title III, §§3111–3141 20 U.S.C. 6821–6871
Grant Type	Formula
Grant Purpose	<p>The purpose of this grant is to improve the education of English learners by helping them learn English and meet challenging state academic content and student academic achievement standards. The program also provides enhanced instructional opportunities for immigrant children and youth.</p> <p>Schools use funds to implement language instruction educational programs designed to help English learners develop academic English and achieve high standards. LEAs may develop and implement new language instruction programs and expand or enhance existing programs. LEAs may also implement schoolwide programs within individual schools or implement system-wide programs to restructure, reform, or upgrade all programs, activities, or operations related to the education of English learners.</p>
OSSE Monitoring Requirement	<p>2 CFR §200.331(d)(1-3)</p> <p>All pass-through entities must:</p> <p>(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:</p> <p>(1) Reviewing financial and performance reports required by the pass-through entity.</p> <p>(2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.</p> <p>(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 Management decision.</p>
Annual Subrecipient Reporting Requirements	Bi-annual report
Web-Based Resources on Grant Program	This U.S. Department of Education website provides a thorough overview of the supplemental English Language Acquisition state grants, and includes eligibility, non-regulatory guidance, and FAQs: http://www2.ed.gov/programs/sfgp/index.html

OSSE Contact	Ms. Gimari Jones Program Manager, Title III, Part A Grant, English Language Acquisition (K-12) Teaching and Learning Cluster Division of Systems and Supports, K-12 (202) 478-5987 or Gimari.Jones@dc.gov
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Title V, Part B: Charter Schools Program (CSP) Grant

Grant Name	Charter Schools Program (CSP) Grant Title V, Part B
Legal Citation	Elementary and Secondary Education (ESEA) Act of 1965, as amended, Title V, Part B 20 U.S.C. 7221 *Please note that OSSE received the CSP grant in 2015, under the previous version of the law, the No Child Left Behind (NCLB) Act. OSSE’s CSP grant will continue to operate in accordance with the ESEA, as amended by NCLB.
Grant Type	Formula (Planning and Implementation grants) Competitive (Dissemination grants)
Grant Purpose	The purpose of the Charter School Programs (Title V, Part B) grant is to increase national understanding of the charter schools model by: <ul style="list-style-type: none"> • Providing financial assistance for the planning, program design, and initial implementation of charter schools • Evaluating the effects of such schools, including the effects on students, student academic achievement, staff, and parents • Expanding the number of high-quality charter schools available to students across the nation • Encouraging the States to provide support to charter schools for facilities financing in an amount more nearly commensurate to the amount the States have typically provided for traditional public schools
OSSE Monitoring Requirement	2 CFR §200.331(d)(1-3): All pass-through entities must: (d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include: (1) Reviewing financial and performance reports required by the pass-through entity. (2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means. (3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 Management decision.
Annual Subrecipient Reporting Requirements	Semi-Annual and Final Narrative Reports (deadlines are listed in the subgrantee’s performance agreement)

<p>Web-Based Resources on Grant Program</p>	<p>This website provides the U.S. Department of Education’s Charter Schools Program information page, including applicable legislation, regulations and guidance: http://www2.ed.gov/programs/charter/legislation.html</p> <p>This website is OSSE’s Charter Schools Program information page, including lists of awardees and resources for subrecipients: http://osse.dc.gov/service/charter-schools-program-planning-and-implementation-grant</p>
<p>OSSE Contact</p>	<p>Ms. Ronda Kardash Director, Office of Public Charter School Finance and Support Policy, Planning and Charter Support Cluster Division of Systems and Supports, K-12 202-741-5099 or Ronda.Kardash@dc.gov</p>

Title VII-B: McKinney-Vento Homeless Assistance Act

Grant Name	McKinney-Vento Homeless Assistance
Legal Citation	42 U.S.C. 11432 et seq.
Grant Type	Competitive [Note: Some provisions of the McKinney-Vento Homeless Education Assistance Act apply to all LEAs regardless of whether funding received under this Title.]
Grant Purpose	The purpose of the grant is to provide supplemental funding to help achieve the following: (1) the identification, enrollment, attendance, and success in school of homeless children and youth; and (2) ensure homeless children and youth have equal access to the same free, appropriate public education as provided to all other students. Services provided through this grant cannot replace regular academic programming.
OSSE Monitoring Requirement	2 CFR §200.331(d)(1-3): All pass-through entities must: (d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include: (1) Reviewing financial and performance reports required by the pass-through entity. (2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means. (3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 Management decision.
Annual Subrecipient Reporting Requirements	<ul style="list-style-type: none"> Ongoing homeless student data uploaded and entered into the McKinney-Vento QuickBase (MKV QB) application; which resets annually. Homeless identifications are sent to OSSE via each LEA’s student information system (SIS), and the MKV QB application is used to collect supplementary information of homeless students. Mandatory data that is reported to the Department of Education, which must be populated in the MKV QB application, includes student’s night time residency status (NRS) and unaccompanied youth (UY);

	<ul style="list-style-type: none"> • Annual census data regarding homeless students in partnership with The Community Partnership for the Prevention of Homelessness (TCP); and • Annual needs assessment data as part of subgrantees’ original and continuation application processes.
<p>Web-Based Resources on Grant Program</p>	<p>The following resources will support LEA’s program implementation:</p> <ul style="list-style-type: none"> • This website manages the Homeless Management Information System (HMIS), which is the primary repository for client level data for consumers of homeless services in the District of Columbia. The HMIS allows the Community Partnership for the Prevention of Homelessness (TCP) to analyze data from within the homeless system and evaluate essential information related to the provision and assessment of services provided within all levels of the Continuum of Care, including outreach and prevention, emergency shelters, transitional housing and permanent supportive housing, for single adults, youth and families. http://www.community-partnership.org/ • This is a communication tool to be used between LEAs and OSSE that identifies homeless students, including areas of concern or need. https://octo.quickbase.com/ • OSSE has created a new tool, the Compressive Homeless Student Data application in Qlik Sense that enables LEAs to access timely information to assist in the provision of educational supports for homeless students. This application provides comprehensive data on homeless students by integrating LEA data from the Statewide Longitudinal Data System (SLED) with student data received from homeless shelters and other programs via The Community Partnership. https://sled.osse.dc.gov/info/OSSE-Reports/ • This website is the U.S. Department of Education's technical assistance and information center for the federal Education for Homeless Children and Youth (EHCY) Program , the National Center for Homeless Education (NCHE): http://center.serve.org/nche/ <p>This website is operated by the National Association for the Education of Homeless Children and Youth (NAECHY), and provides professional development, resources, and training support for anyone and everyone interested in supporting the academic success of children and youth challenged by homelessness. NAECHY also engages in federal policy advocacy to strengthen policies and resources for homeless children, youth, and families: http://www.naehcy.org/</p>
<p>OSSE Contact</p>	<p>Mrs. Nicole Lee-Mwandha Homeless Education State Coordinator Community Learning and School Support Cluster Division of Systems and Supports, K-12 (202) 654-6123 or Nicole.Lee-Mwandha@dc.gov</p> <p>Ms. Danielle C. Rollins</p>

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(202) 478-5927 or Tasheen.Stallings@dc.gov

IDEA Part B: Section 611 & Section 619 Summary

Grant Name	Individual With Disabilities Education Act, Part B
Legal Citation	20 U.S.C. §1400 et seq.
Grant Type	Formula
Grant Purpose	<p>The purpose of this grant is:</p> <ul style="list-style-type: none"> (a) To ensure that all children with disabilities have available to them a free appropriate public education that emphasizes special education and related services designed to meet their unique needs and prepare them for further education, employment, and independent living; (b) To ensure that the rights of children with disabilities and their parents are protected; (c) To assist States, localities, educational service agencies, and Federal agencies to provide for the education of all children with disabilities; and (d) To assess and ensure the effectiveness of efforts to educate children with disabilities.
OSSE Monitoring Requirement	<p>20 U.S.C. 1416(a) requires that States monitor the implementation of the IDEA.</p> <p>DC ST 38-2561.01(13)</p> <p>Under local special education law, OSSE “has primary responsibility for the state-level supervisory functions for special education that are typically handled by a state department of education or public instruction, a state board of education, a state education commission, or a state education authority.”</p>
Annual Subrecipient Reporting Requirements	<p>OSSE’s Monitoring and Compliance System is used to ensure that LEAs are meeting the requirements of both federal and local regulations. Pursuant to Title 5, Section 3019.3(f) of the District of Columbia Municipal Regulations, all LEAs (including independent charter LEAs) are required to input data into Special Education Data System (SEDS). OSSE reviews the data on a quarterly and annual basis for reporting purposes.</p> <p>Annual Maintenance of Effort (MOE) collection and Annual Coordinated Early Intervening Services (CEIS) collection (for both required and voluntary LEAs).</p>
Web-Based Resources on Grant Program	<p>This document provides OSSE’s guidance on IDEA, Part B monitoring: https://osse.dc.gov/publication/specialized-education-monitoring-compliance-manual-idea-part-b.</p> <p>This website provides guidance on LEA Maintenance of Effort (MOE) and Coordinated Early Intervening Services (CEIS): http://cifr.wested.org/resources/</p> <p>This U.S. Department of Education website provides guidance on IDEA Monitoring, Technical Assistance, and Enforcement: http://sites.ed.gov/idea/This website is designed to provide easy access to information from research to practice initiatives funded by the U.S. Department of Education that address the provisions of IDEA. The website includes resources, links, and other important information relevant to the Department’s research to</p>

	practice efforts: https://www.osepideasthatwork.org/
OSSE Contact	Ms. Karen Donaldson LEA Supervisory Monitoring Specialist Accountability, Performance, and Support Cluster Division of Systems and Supports, K-12 202-724-7803 or Karen.Morgan-Donaldson@dc.gov

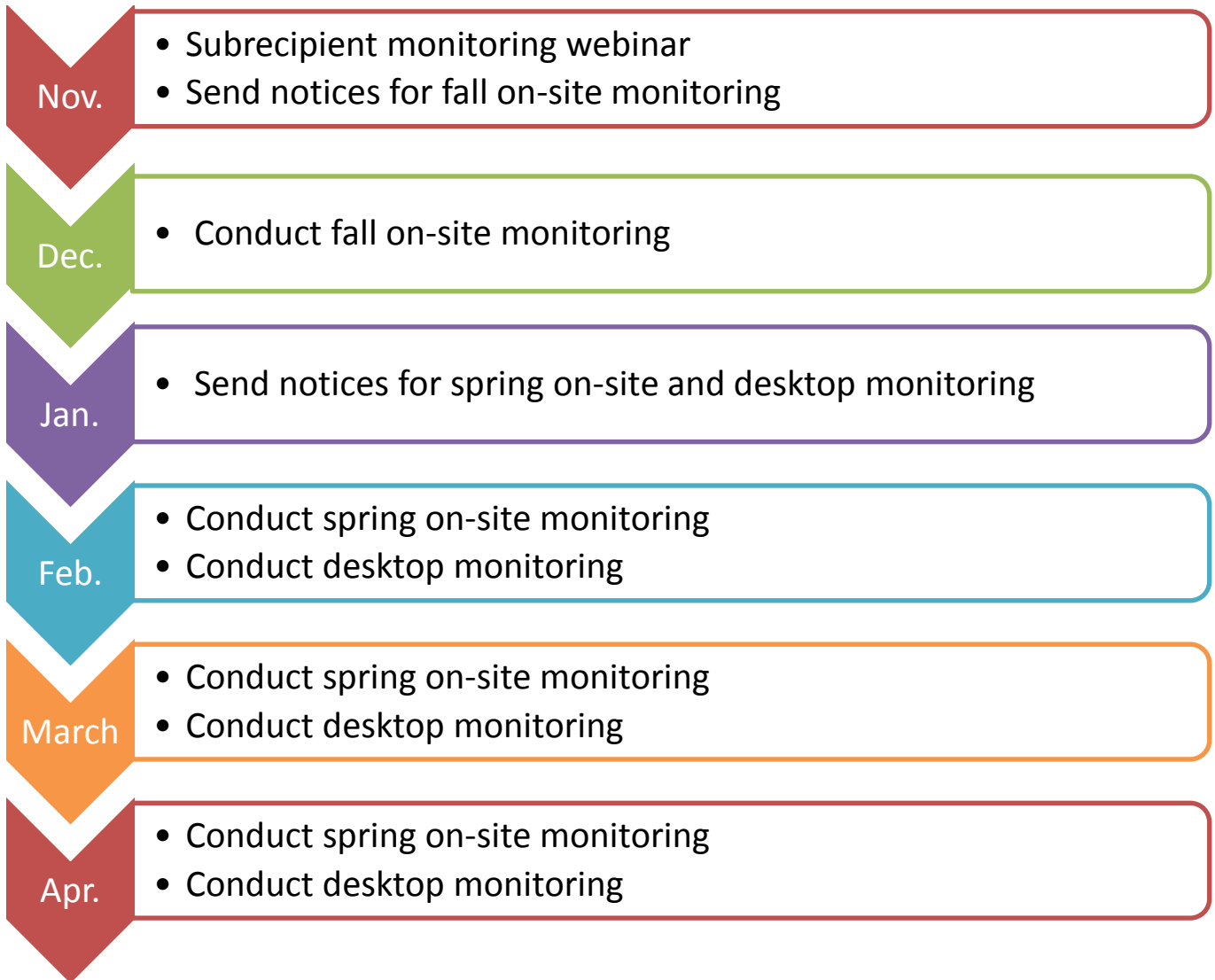
Scholarships for Opportunity and Results (SOAR) Act

Grant Name	Scholarships for Opportunity and Results (SOAR) Act
Legal Citation	The Scholarships for Opportunity and Results (SOAR) Act, Pub. L. 112-10, 125 Stat. 199, §3004(b)(2)
Grant Type	Formula (Early Childhood grant) Competitive (Academic Quality grant, Facilities grant, Replication and Growth grant, Third Party grant) *Academic Quality was converted to formula for the FFY16 SOAR grant
Grant Purpose	The purpose of the Scholarships for Opportunity and Results (SOAR) Act grant is to improve school performance and educational outcomes and to provide facility funding in order to increase the number of high-quality public charter school seats in the District of Columbia.
OSSE Monitoring Requirement	2 CFR §200.331(d)(1-3): All pass-through entities must: (d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include: (1) Reviewing financial and performance reports required by the pass-through entity. (2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means. (3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 Management decision.
Annual Subrecipient Reporting Requirements	Semi-annual reporting and final report
Web-Based Resources on Grant Program	This website is OSSE’s SOAR ACT information portal, where all information regarding SOAR ACT and OSSE grant awarding information (including timelines, RFA, application information, etc.) can be found: http://osse.dc.gov/service/scholarships-opportunity-and-results-soar-act-grant
OSSE Contact	Ms. Ronda Kardash Director, Office of Public Charter School Finance and Support Policy, Planning and Charter Support Cluster Division of Systems and Supports, K-12 202-741-5099 or Ronda.Kardash@dc.gov

Appendix

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Division of Systems and Supports, K-12
Annual Monitoring Cycle, 2017-18



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DISTRICT OF COLUMBIA
OFFICE OF THE STATE SUPERINTENDENT OF
EDUCATION

Sub-recipient Monitoring Policy

The Public Education Reform Amendment Act (PERAA) of 2007 (D.C. Law 17-9) established OSSE as the state education agency (SEA) for the District of Columbia (D.C. Code § 38-2601.01). As the SEA, OSSE is responsible for monitoring sub-recipients to ensure compliance with local and federal laws and regulations.

This document establishes the minimum requirements and standards that the Office of the State Superintendent of Education (OSSE) shall use to monitor federal and local programs implemented by grant sub-recipients, including, but not limited to: local education agencies (LEAs), institutions of higher education, community-based organizations, child care development centers, and other not-for-profit organizations. This policy and the procedures contained herein are subject to changes in applicable federal or local law, regulations, or guidance.

Each division or office within OSSE shall use this policy in developing individual program specific monitoring protocols and tools that address the requirements of each local and federal grant administered by the agency. Additionally, it is noted that programs should consult the CityWide Grants Manual and Sourcebook when creating program specific monitoring tools for local funds. A copy of the Sourcebook and attachments can be found at: <http://opgs.dc.gov/book/citywidegrants-manual-and-sourcebook>.

This policy addresses types of monitoring and monitoring schedules. It also describes the structure of reports for monitoring, corrective action plans, conditions and restrictions, and resolution expectations.

Hanseul Kang
State Superintendent

Monitoring Policy

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I. DEFINITIONS AND PURPOSE OF MONITORING

Monitoring is the regular and systematic examination of all aspects associated with the administration and implementation of a state approved program in an effort to ensure that a sub-award is used for authorized purposes and in compliance with federal and local laws and regulations, and that the terms and conditions of the sub-award are achieved. The examination addresses programmatic and fiscal components. The process both ensures compliance with grant requirements and measures programmatic results, assisting the SEA in determining which programs need technical assistance in an effort to ensure high quality programs.

II. MONITORING CRITERIA

OSSE will consider at minimum the following risk assessment criteria when determining the monitoring activities, rotation, and focus areas for each sub-recipient monitoring effort. *Please note that other program and/or fiscal specific criteria may also be considered at the discretion of the respective grant manager.*

- Results from required audits, including the single audit required by 2 CFR 200, Part F;
- Consistent noncompliance relative to unresolved findings identified during previous monitoring reviews;
- The outcome of individual complaints to the agency;
- Higher grant award totals;
- Excess carryover or failure to liquidate funds;
- Late reporting (*e.g.* expenditures, status reports, progress reports, equipment inventory, data collections);
- Lack of alignment between expenditures and approved budget;
- Ratio of disallowed to allowed costs;
- Lack of prior experience with the same or similar sub-awards;
- Failure to adhere to terms and conditions set forth in a Grant Award Notice (GAN) or other documents setting forth the program and fiscal requirements; and
- Failure to make substantial progress toward grant goals and objectives.

Additional risk assessment criteria may include, but are not limited to:

- Prior experience with the same or similar federally or locally-funded sub-awards;
- Administrative costs above budgeted amounts;
- Staffing capacity levels for completion of grant objectives; and
- Whether the sub-recipient has new personnel or new or substantially changed systems.

III. TYPES OF MONITORING ACTIVITIES

OSSE will conduct monitoring activities through both desktop and onsite monitoring. Scheduled onsite monitoring visits will be prioritized by risk assessment criteria in accordance with 2 CFR § 200.331(b) (described above). Certain grant programs may choose to use a multi-step monitoring process which will include desktop and onsite monitoring in addition to other forms of monitoring. All monitoring strategies and schedules will be coordinated agency-wide to: identify cross-cutting areas of monitoring across programs, align efforts, set clear expectations, and avoid unnecessary burden on sub-recipients.

- A. Desktop Monitoring:** During desktop monitoring, OSSE performs an intensive review of documents submitted by the sub-recipient or evidence that is otherwise available, in addition to utilizing data submitted by a sub-recipient that is already housed within OSSE’s data systems. Desktop monitoring may also include a more comprehensive review of a sub-recipient’s fiscal and programmatic activities and records. Desktop monitoring is a tiered monitoring approach that can be as specific as a request for documentation supporting a single reimbursement request or as expansive as a request for a series of quarterly reports or an external audit. Determinations from a desktop monitoring may prompt OSSE to schedule an onsite monitoring.
- B. Onsite Monitoring:** Onsite monitoring involves a comprehensive assessment conducted by a monitoring team at a site where a program is operating. One or more content area experts from OSSE conduct this assessment on site to evaluate all phases of program and fiscal administration and operations using a monitoring tool aligned with grant requirements. Any sub-recipient selected for annual onsite monitoring activities will be notified at least four weeks in advance and will be informed of any documentation to prepare and/or submit prior to the OSSE monitoring team’s visit (commonly referred to as “pre-visit documentation”). OSSE may also conduct onsite monitoring concerning a specific focus area or set of circumstances related to a particular grant. While OSSE has the authority to conduct unannounced visits—and does so—on a case by case basis in consideration of the circumstances, OSSE aims to be as transparent as possible so as to minimize disruption to the academic program when conducting its reviews.
- C.** During the onsite review, the monitoring team may perform the following tasks:
- Review selected documentation (*e.g.* expense reports, local applications, programs of study, curriculum plans) relevant to the grant or program;
 - Review student data/student records as they relate to the grant or program;
 - Visit classrooms or service areas supported by the grant or program; Use expenditure samples to verify and locate equipment purchased;
 - Visit location where financial records are kept;
 - Request sub-recipient to display their financial management system and provide a walkthrough of how transactions are recorded, reconciled, and tracked;

- Conduct focus group meetings with faculty, staff, students, parents, providers, or other key stakeholders participating in or affected by the grant or program; and/or
- Conduct additional monitoring activities, as needed.

In the instance that student interviews are included within the scope of the planned activities, OSSE will work with the sub-recipient to identify potential students and will provide the subrecipient with letters to assist the sub-recipient with requesting parental consent as appropriate prior to the interviews. OSSE will not conduct interviews without the receipt of appropriate consent.

At the conclusion of each onsite monitoring visit, the OSSE monitoring team will perform an exit interview with key sub-recipient staff to provide general feedback, outline outstanding documentation requests and the timeline for their submission, and discuss other information critical to draft OSSE's onsite monitoring report to the sub-recipient.

IV. TYPES OF EVIDENCE REQUESTED

OSSE will review documents related to both financial and programmatic activities prepared by the subrecipient. Commonly requested records for both desktop and onsite monitoring include:

- Documentation related to payroll transactions (*e.g.* a list of employees paid with grant funds; job or position descriptions; time and effort records demonstrating employees worked on grant activities; time and attendance records demonstrating when employee worked; evidence of payroll reconciliations; accounting records indicating how salaries were charged; and/or payment records indicating how salaries were paid);
- Documentation related to procurement (*e.g.* requisitions; cost estimates; requests for bids, proposals, etc.; copies of bids, proposals, etc. submitted; evaluation documents; purchase orders or contracts; invoices; proof that items purchased were received; inventory records; and/or review of the excluded parties list);
- Equipment and other asset inventory logs, including evidence that a physical inventory was conducted if appropriate;
- Other expenditure receipts for items purchased under the grant;
- Fiscal documentation showing the sub-recipient is meeting its obligations under EDGAR 34 CFR §§76.730 and 76.731, and/or the City-Wide Grants Manual and Sourcebook, including documents showing:
 - a) The amount of funds available under the grant;
 - b) How the sub-recipient has used the funds;
 - c) The total cost of projects initiated via the grant award;
 - d) The share of projects' total cost provided from other sources; and
 - e) Other records necessary to facilitate an effective audit.

- Copies of policies and procedures concerning grant administration, especially those related to internal controls;
- Data related to performance against grant goals and objectives; and
- Representative samples of student or staff files.

V. COORDINATING MONITORING ACROSS OSSE

OSSE strives to coordinate monitoring functions for grant programs in order to reduce burden. OSSE's Enterprise Grants Management System (EGMS) and other shared resources enable OSSE's various divisions to reduce the administrative burden of monitoring for sub-recipients, including: coordinating visits; streamlining documentation requests; allowing document requests, response documents, monitoring reports from OSSE, and Corrective Action Plans (CAPs) to be uploaded to an online, centralized platform; and prioritizing monitoring based on information contained within other divisions' monitoring reports.

VI. MONITORING REPORTS

Within ninety (90) calendar days after completion of any desktop review or onsite monitoring (assuming receipt of all supporting documents and materials requested of the sub-recipient), OSSE will send a report to the sub-recipient that will include an overview of any findings, recommendations, and/or plans for onsite monitoring, if applicable. Should a Corrective Action Plan (CAP) that delineates strategies and a timeline in which the sub-recipient will correct any findings be required by OSSE, a sub-recipient will have thirty (30) calendar days to submit the CAP.

Additionally, in specific instances involving immediate student safety or the potential denial of a Free and Appropriate Public Education (FAPE) under the Individuals with Disabilities Education Act, corrective actions may either be stipulated by OSSE and/or include shorter timelines for implementation of the CAP.

VII. CORRECTIVE ACTION PLAN (CAP)

OSSE will review a sub-recipient's CAP and provide feedback to the sub-recipient within thirty (30) calendar days of receipt of the CAP. OSSE will either approve the CAP or provide targeted technical assistance to support the sub-recipient in strengthening the CAP to meet requirements. The OSSE program office will work with the sub-recipient to ensure the plan is sufficient, manageable, and timely. OSSE program staff will ensure that the CAP includes a timeline that requires correction of any findings as soon as possible and in no case more than one year from the date the finding was made. As described in additional detail under Section IX, the OSSE program office may submit post-monitoring documentation requests to ensure the CAP has been sufficiently implemented, and may include verification of CAP implementation as part of subsequent monitoring.

VIII. CONDITIONS/RESTRICTIONS

If a sub-recipient is determined to be high risk or fails to sufficiently implement its CAP within a timely manner, OSSE may impose special conditions or restrictions on the sub-recipient's ability to receive grant funds in the future. Special conditions or restrictions may include:

- Additional reporting;
- Additional onsite monitoring;
- Mandatory technical assistance; and/or
- Withholding or suspension of grant funds, with advanced notice via written notification.

Additional program-specific conditions may also be imposed at the discretion of the respective grant manager if a grant manager believes that the sub-recipient has failed to achieve the performance goals of the grant. The sub-recipient will be notified in writing by the OSSE grant manager if there are any special conditions or restrictions attached to the grant award. The notice will include:

- Nature of the special conditions/restrictions;
- The reasons why the additional conditions/restrictions are being imposed;
- The nature of the action (including any corrective actions) which must be implemented before the conditions/restrictions may be lifted;
- The time allowed for completing the actions, as applicable; and
- The method for requesting reconsideration of the additional requirements imposed.

OSSE will remove special conditions once the conditions that prompted them have been corrected.

IX. RESOLUTION OF NONCOMPLIANCE

OSSE will consider all findings from a monitoring visit resolved only after the sub-recipient has provided sufficient evidence that all findings of noncompliance have been corrected. Sufficient evidence may include, but is not limited to, additional testing of applicable records and the submission of documents identified by OSSE. Once OSSE has collected, reviewed, and deemed acceptable all evidence of implementation of corrective actions, OSSE will issue a closeout letter to the sub-recipient to indicate the findings have been resolved and to document any conditions/restrictions that have been lifted.

X. DESKTOP AND ON-SITE MONITORING SUMMARY TIMETABLE

This section delineates standard timelines related to key monitoring activities. Adjustments to the timeline based on extenuating circumstances will be determined on a case by case basis.

OSSE Monitoring Activity	Due date
Notification of annual onsite monitoring from OSSE to sub-recipient	4 weeks prior to start of onsite monitoring
Monitoring report from OSSE to sub-recipient (both desktop and onsite monitoring)	Ninety (90) days after completion of the review <u>and</u> receipt by OSSE of all supporting documents and materials requested of the sub-recipient

Corrective action plan (CAP) from sub-recipient to OSSE (if required by onsite monitoring report)	Thirty (30) days after receipt of the onsite monitoring report from OSSE
Feedback from OSSE to sub-recipient regarding CAP (if CAP is required)	Thirty (30) days after receipt of the CAP by OSSE
Documentation requests for verification of CAP implementation (post-monitoring)	On an as-needed basis

XI. MANAGEMENT DECISION LETTERS

Following review of the sub-recipient’s single audit, as required by 2 CFR Part 200, Subpart F (or OMB A133 for fiscal years beginning before December 26, 2014), OSSE will issue a management decision letter (MDL). The letter will state whether or not OSSE sustains the audit finding, provide the reasons for the decision, and identify the expected sub-recipient action to repay disallowed costs, make financial adjustments, or take any other corrective action. If the sub-recipient has not already completed the corrective action, the MDL will include a timetable for follow-up.

Prior to issuing the MDL, OSSE may request additional information or documentation from the subrecipient as a way of mitigating disallowed costs. The MDL will also include a description of any appeal process available to the sub-recipient. OSSE will issue the MDL within six (6) months of acceptance of the audit report by the Federal Audit Clearinghouse. The MDL will include the reference numbers the auditor assigned to each audit finding.

XII. DEFINITIONS

- A. Federal Audit Clearinghouse (FAC)** means the clearinghouse designated by Office of Management and Budget (OMB) as the repository of record where non–Federal entities are required to transmit the reporting packages required by Subpart F—Audit Requirements of 2 CFR Part 200. The mailing address of the FAC is Federal Audit Clearinghouse, Bureau of the Census, 1201 E. 10th Street, Jeffersonville, IN 47132 and the web address is: <http://harvester.census.gov/sac/>. Any future updates to the location of the FAC may be found at the OMB Web site.

- B. Local Education Agency (LEA)** means an educational institution at the local level that exists primarily to operate a publicly funded school or schools providing elementary or secondary education in the District of Columbia, including the District of Columbia Public Schools (DCPS) and a District of Columbia public charter school. For the purposes of special education compliance monitoring, LEAs are responsible for ensuring that appropriate and compliant services are provided for students who have been parentally-placed in private (*i.e.*, non-public) institutions.

- C. Community-based Organization (CBO)** means an institution at the local level that exists primarily to engage in community development activities in a particular geographic area, which may include educational, economic, and housing development activities, with the goal of: improving the climate of the area, increasing educational or professional opportunities for the area’s residents, or other desired outcomes.

D. Sub-recipient means a non-Federal entity that receives a sub-award from a pass-through entity to carry out part of a Federal program, but does not include an individual that is a beneficiary of such program. A sub-recipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

**Consolidated Monitoring Tool
and
Corrective Action Plan Template**

In addition to compliance, OSSE's monitoring process is designed to provide sub-grantees with meaningful feedback to improve the quality and implementation of their educational programs and to ultimately raise student achievement in the District of Columbia.

In the fulfillment of these responsibilities, OSSE conducted an on-site monitoring review.

Section I: Overview

Scope of the Review

OSSE has conducted a comprehensive review of the LEA's administration of the grants listed above during its on-site visit. The monitoring activities included a review of documentation, interviews, and observations.

OSSE issues a monitoring report, after the on-site visit, with determinations of compliance, determinations of noncompliance, and recommendations. The monitoring report also delineates corrective actions and improvement activities necessary for the LEA to correctly implement the specific requirement. The initial report that the LEA receives is the preliminary monitoring report. This report summarizes the results of the monitoring visit and any outstanding items needed to determine compliance. Following the release of the preliminary report, LEAs have ten (10) days to review the information and share any additional information that may demonstrate compliance. Ninety (90) days after the monitoring event, LEAs receive a final monitoring report. This report summarizes the results of the monitoring visit and any corrective actions that must be taken by the LEA to address noncompliance.

Response to Final Report

If noncompliance is identified within the final report, OSSE requires the LEA to correct the noncompliance as soon as possible (ideally within 90 days of identification) but in no case later than one year after the identification of the noncompliance.

LEAs with findings of noncompliance may be required to submit a Corrective Action Plan (CAP). If your LEA has been identified as needing to submit a CAP, this requirement is noted above. See the enclosed attachment for the approved CAP template. In the CAP, the LEA must provide a projected timeline for the completion of all corrective actions. OSSE staff will review the CAP and determine if the CAP is sufficient to address the identified findings. OSSE will provide feedback on the proposed CAP within 30 days of receipt.

The following sections provide the results of OSSE's monitoring process. Specific information related to each grant's monitoring indicators is delineated within the body of the report. Please note that for IDEA, correction of findings takes place in the District of Columbia Corrective Action Tracking System (DC CATS). For all other grants, your respective grant manager will be the point of contact for submitting corrections of findings.

OSSE Timeline

On-site monitoring includes the following defined steps for the 2017-2018 year:

- 1) Identification for monitoring
- 2) Notification of monitoring selection
- 3) Pre-site activities: Pre-site documentation submission and site visit and/or phone conference
- 4) On-site monitoring visit and activities
- 5) Preliminary monitoring report issued (within 70 days of visit)
- 6) Final monitoring report issued (within 90 days of visit)
- 7) Correction of noncompliance
- 8) Verification of correction of noncompliance
- 9) Closure of findings of noncompliance

NOTE: The Uniform Administrative Requirements at 2 CFR Part 200 apply to all grants and non-competing continuations (including carryover funds) made on or after December 26, 2014. The audit requirements at 2 CFR Part 200 Subpart F apply to fiscal years beginning on or after December 26, 2014.

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: Financial Management						
1.1	The subgrantee can provide evidence that its financial management system provides for the following: (1) identification, in its accounts, of all Federal awards received and expended and the Federal programs under which they were received; (2) accurate, current, and complete disclosure of the financial results of each Federal award or program; (3) records that identify adequately the source and application of funds for federally-funded activities, including information pertaining to Federal awards, authorizations, obligations, unobligated balances, assets, expenditures, income and interest, and are supported by source documentation; and (4) comparison of expenditures with budget amounts for each Federal award.	2 CFR §§200.302	-Accounting and Budget Policy, Procedure or Handbook - Sample accounting journal entry that includes transactions with program funds - Screenshots of financial management system			
1.2	The subgrantee can provide documentation of the policy(ies) and procedures for accounting practices, budgeting process (tracking and reporting of expenditures), written procedures for determining the allowability of costs, cash management practices, and information/ documentation management to include requirements for protecting personal identifiable information and electronic records.	2 CFR §§200.302	- Accounting and Budget Policy, Procedure or Handbook - Allowability procedures - Cash management procedures - Records Management Policy			
1.3	The subgrantee can provide evidence of financial operations and procedures which demonstrate adherence to the requirement to segregate duties.	2 CFR §§200.302 and 200.303	-Accounting Policy			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.4	The subgrantee can provide evidence that expenditures are paid in accordance with the Prompt Payment Act. (DCPS only).	2 CFR §200.303	- Cash management procedures			
Indicator 2: Compensation for Personnel Services						
2.1	The subgrantee can provide payroll evidence and certifications for those employees funded 100% from a single federal cost objective or those employees that work on multiple cost objectives.	Appendix B 8.h 2 CFR §200.430(i)	<ul style="list-style-type: none"> - Time & Effort documentation, such as semi-annual certifications or PARs, which must: - Be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable, and properly allocated; - Be incorporated into the grant recipient's official records; - Reasonably reflect the total activity for which the employee is compensated; - Encompass all activities (federal and non-federal); - Comply with the established accounting policies; and - Support the distribution of the employee's salary or wages among specific activities or cost objectives. 			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.2	The subgrantee can provide documentation of evidence which demonstrates that internal controls exist for payroll in regard to the following areas: - Internal controls are in place that forbid and prevent the issuance of payroll checks prior to time and attendance being approved; - Internal controls are in place and utilized in order to prevent the continual payment to any employee who has been terminated and no longer works for the LEA; and - Internal controls are in place which demonstrate segregation of duties in regards to payroll. For example, payroll checks are distributed by someone other than persons who prepare payrolls, supervise employees, approve time reports, or sign paychecks. (Examples: accounting or internal controls policies)	2 CFR §§200.302, 200.303, and 200.430(i)	- Accounting Policy			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.3	The subgrantee can provide evidence that personnel expenditures are charged to the appropriate grant and consistent with expenditure samples. (Example: requested samples of expenditures, including supporting documentation such payroll reports and checks)	2 CFR §§200.302, 200.303, and 200.430(i)	- Expenditure sample supporting documentation - List of staff paid with federal funds	- Payroll reports/ checks/payrolls accounting system		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 3: Equipment and Technology / Property Management						
3.1	The subgrantee can provide evidence to support the purchase of equipment with federal funds. All purchase should be reasonable, allocable and allowable. Equipment must be properly tagged, properly safeguarded from unauthorized access or use, and located where indicated on the inventory list. Equipment inventory list must contain the following: a. Description of the item. b. Serial number or other identification number. c. Funding Source (including the FAIN). d. Who holds the title. e. Acquisition date. f. Cost, including percentage of Federal participation in the cost. g. Location. h. Use and condition. i. Disposition data, including the date of disposal and sales price or the method used to determine current fair market value.	2 CFR §§200.313, 200.310-316, and 200.302(b)(4)	- Equipment Policy			
3.2	The subgrantee can provide evidence to show that equipment management and control policies over inventory and property are in writing and demonstrates how it safeguards all assets purchased with federal funds, to include high value and/or mobile items, including technology and items less than \$5000. The policies must detail what actions the subgrantee takes when property is lost, damaged, or stolen. (Examples: equipment policy, physical inventory log, and reconciliation equipment log (once every 2 years))	2 CFR §200.302(b)(4); 2 CFR §200.313(d)(3)	- Inventory Policy	- Equipment inventory, police reports		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
3.3	The subgrantee can provide evidence to show that it maintains policies related to equipment use and disposition. The subgrantee's equipment use policies must describe the extent to which other programs or projects may use equipment purchased with federal funds. The subgrantee's equipment disposition policy must describe its sales procedures in order to ensure the highest possible return.	2 CFR §200.313(c)-(e)	- Equipment Policy			
3.4	The subgrantee can provide evidence that its equipment policy includes maintenance procedures to keep property in good condition.	2 CFR §200.313(d)(4)	- Equipment Policy			
3.5	The subgrantee used federal funds to purchase equipment and conducts a physical inventory check at least once every two years that: a. Confirms the equipment was found at the location as identified in the equipment database. b. Assesses the condition of the equipment. c. Confirms the equipment is located in a secure environment (equipment is located in a room, storage cabinet, etc. that can be locked up when not in use). d. Requires the subgrantee to follow-up to determine the cause and to implement corrective action if the results of the physical inventory indicate there is a systemic weakness related to keeping the log or database current, security over equipment, or other areas of non-compliance.	2 CFR §§200.302(b)(4), 200.313(d)(2), and 200.313(d)(3)	- Equipment Policy	- Physical inventory log or report		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 4: Procurement Standards						
4.1	The subgrantee can provide evidence showing purchasing practices and policies are in writing.	2 CFR §200.318(a)	- Procurement Policy			
4.2	The subgrantee can provide evidence that its purchasing practices and policies ensure that all procurement transactions are conducted in a manner providing full and open competition. Some situations which could restrict competition are (1) placing unreasonable requirements on firms in order for them to qualify to do business; (2) requiring unnecessary experience and excessive bonding; (3) noncompetitive pricing practices between firms or between affiliated companies; (4) noncompetitive contracts to consultants that are on retainer contracts; (5) organizational conflicts of interest; (6) specifying only a 'brand name' product instead of allowing 'an equal' product to be offered and describing the performance or other relevant requirements of the procurement; and (7) any arbitrary action in the procurement process.	2 CFR §200.319(a)	- Procurement Policy			
4.3	The subgrantee can provide evidence that its purchasing practices and policies ensure that all solicitations (1) incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured; and (2) identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.	2 CFR §200.319(c)	- Procurement Policy			
4.4	The subgrantee can provide evidence that internal controls are in place to ensure that contract requirements are being fulfilled by vendors consistent with the terms of the contract.	2 CFR §200.318(b)	- Fully executed contract(s)			
4.5	The subgrantee can provide evidence demonstrating that expenditure transaction files are maintained in such a manner that documents supporting any transaction can be easily located.	34 CFR 76.730	- Documents which support expenditure sample - Contracts and invoices			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
4.6	The subgrantee can provide evidence that price or cost analysis have been performed on all procurements in compliance with published protocols and must make independent estimates before receiving bids or proposals.	2 CFR §200.323	- Contract cost/price analysis - Copy of advertisement published in two major city newspapers - Evidence that the subgrantee published in the DC Registry			
4.7	The subgrantee can provide evidence that PCSB approval has been obtained in contracts that exceed \$25,000 (remember that approval could be silent). (Charters Only)	2 CFR §200.318(a)	- Correspondence to PCSB of contracts totaling \$25K or more to a single vendor within a school year or fiscal year including all correspondence, emails, memorandums to PCSB.			
4.8	The subgrantee can provide evidence verifying that maintained procurement documentation is sufficient to detail the history of each transaction, including rationale for the method of procurement, selection of contract type, contractor selection or rejection and the basis for the contract price in regards to price extensions, additions, freight charges, discounts, etc.	2 CFR §§200.318(b) and 200.318(i)	- Procurement Policy			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
4.9	The subgrantee can provide evidence of a written standards of conduct for any employee involved in the award or administration of contracts, including conflicts of interests; accepting gifts, favors, etc.	2 CFR §200.318(c)(1)	- Conflict of Interest Policy			
4.10	The subgrantee can provide evidence and verification showing contractors are not on the Excluded Party List (EPL) and are in good standing.	2 CFR §200.212	- Screenshots showing the date that the subgrantee checked sam.gov to verify that the vendor was not on the Excluded Party List (EPL)			
Indicator 5: Audits/Reports						
5.1	The subgrantee can provide a copy of the single audit/annual financial statement audit for the monitoring period being reviewed. (Example: most recent single audit report) (Applicable to subgrantees that expend at least \$750,000 of Federal funds).	2 CFR §200.501	- On File at OSSE			
5.2	The subgrantee can provide any reports issued by OSSE of the subgrantee applicable to the monitoring period being reviewed.	2 CFR §200.501	- On File at OSSE			

NOTE: In 2012-13, OSSE began using the District of Columbia Corrective Action Tracking System (DC-CATS), a web-based application, to track IDEA compliance and the correction of noncompliance on behalf of LEAs. The results of the IDEA portion of your LEA's most recent on-site monitoring visit are released via DC-CATS. The following IDEA section of this consolidated on-site monitoring report is only for informational purposes and is intended to provide the LEA with a quick summary of the results of the most recent on-site monitoring visit. All activities regarding the correction of identified noncompliance must be completed in DC-CATS.

DC-CATS can be accessed using this link: <https://dcccats.spedsis.com/>

The results included in the LEA Practice section are based on the results of the student file review portion of the on-site monitoring visit. If less than 80 percent of the files reviewed for each area are deemed compliant, the LEA must complete an additional agency-level corrective action. Please note that the agency-level corrective actions are in addition to any individual student-level corrective actions that are required in the student-level section of the IDEA report below. To resolve student level corrective actions, there are two stages, or prongs. Both Prong 1 and Prong 2 correction must occur as soon as possible, but no later than one year from the date of notification of noncompliance. To complete the Prong 1 correction, when an LEA receives written notification of a finding of noncompliance through DC-CATS, the LEA must first correct the individual student level noncompliance. Next, the LEA must demonstrate that it is now correctly implementing the specific regulatory requirement, which OSSE determines through the Prong 2 review. To complete Prong 2, OSSE reviews additional data through another file review in SEDs.

LEAs must provide the following as part of their document submission. Please refer to the LEA notification letter for the required submission date.

- Student Discipline Records for students identified by OSSE Monitor
- Student Attendance Records for students identified by OSSE Monitor
- Schedules for students identified by OSSE Monitor

LEA PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
Least Restrictive Environment (LRE) (LEA-level)					
1 (DC-CATS 1)	The LEA has a continuum of alternative placements available, including instruction in regular classes, special classes, special schools, home instruction, and instruction in hospitals and institutions.	34 CFR §300.115			
Individual Education Program (IEP) (LEA-level)					
2 (DC-CATS 2)	The LEA ensures that student IEPs are accessible to all who are responsible for their implementation (regular education teachers, special education teachers, related service providers).	34 CFR §300.323(d)(1)			
Data (LEA-level)					
3 (DC-CATS 3)	The LEA has made all documents related to the individual student file reviews accessible in SEDs.	34 CFR §300.211			
4 (DC-CATS 4)	The LEA responds to requests for data in a timely manner.	34 CFR §300.211			
Dispute Resolution (LEA-level)					
5 (DC-CATS 5)	The LEA provides information to OSSE regarding State complaints within 10 days of request.	OSSE State Complaint Policy			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
6 (DC-CATS 6)	The LEA timely implements corrective actions contained in the State complaint decision letter.	34 CFR §§300.600(a) and 300.200			
National Instructional Materials Accessibility Standards (NIMAS) (LEA-level)					
7 (DC-CATS 7)	The LEA provides instructional materials to blind students or other students with print disabilities.	34 CFR §300.172			
Equitable Services (LEA-level)					
8 (DC-CATS 11)	The LEA has undergone timely, meaningful consultation with private school representatives and the representatives of parents of parentally-placed private school students with disabilities. (DCPS Only)	34 CFR §300.134			
STUDENT FILE REVIEW					
Initial Evaluation and Reevaluation (Student-level)					
9 (DC-CATS 12)	Upon initial referral, or parent request for evaluation, parents were provided procedural safeguards.	34 CFR §300.504(a)(1)			
10 (DC-CATS 13)	The signature for parent consent was obtained prior to the initial evaluation.	34 CFR §300.300(a)			
11 (DC-CATS 14)	A variety of assessment tools and strategies were used to gather relevant functional, developmental, and academic information about the child, including information provided by the parent.	34 CFR §300.304(b)(1)			
12 (DC-CATS 15)	The signature for parent consent was obtained prior to the date of reevaluation.	34 CFR §300.300(c)(1)			
13 (DC-CATS 16)	A variety of sources were used to determine eligibility.	34 CFR §300.306(c)			
Individualized Education Program (IEP) (Student-level)					
14 (DC-CATS 17)	Parent/student was invited to the most recent IEP meeting.	34 CFR §300.322(a)(1)			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
15 (DC-CATS 18)	Parent/student was notified of IEP meeting early enough to ensure they will have an opportunity to attend.	34 CFR §300.322(a)(1)			
Individualized Education Program (IEP) (Student-level)					
16 (DC-CATS 19)	As evidence of parent participation, the individual who signed IEP meets the definition of "parent" in 34 CFR §300.30.	34 CFR §300.30			
17 (DC-CATS 20)	General education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)			
18 (DC-CATS 21)	Special education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)			
19 (DC-CATS 22)	The LEA designee, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)			
20 (DC-CATS 23)	An individual who can interpret evaluation results, who may be a member of the team described in indicators 17-19, attended the IEP meeting, unless excused.	34 CFR §§300.321(a) and 300.321(e)			
21 (DC-CATS 24)	The IEP includes a Present Level of Academic Achievement and Functional Performance (PLAAFP) that states how disability affects involvement in general curriculum (ages 6-21) or how the disability affects student's involvement in appropriate activities (ages 3-5).	34 CFR §300.320(a)(1)			
22 (DC-CATS 25)	The IEP contains a statement of measurable annual goals (aside from related services goals) designed to meet the student's needs that result from his/her disability.	34 CFR §300.320(a)(2)(i)			
23 (DC-CATS 27)	In the event that the student's behavior impedes the learning of the student or other students, the IEP team considered the use of positive behavioral interventions and supports and other strategies to address behavior.	34 CFR §300.324(a)(2)(i)			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
Individualized Education Program (IEP) (Student-level)					
24 (DC-CATS 26)	The IEP contains a statement of measurable annual related services goals (in the area(s) of ST, PT, OT, counseling or APE) designed to meet the student's needs that result from his/her disability.	34 CFR §300.320(a)(2)(i)(B)			
25 (DC-CATS 28)	File contains evidence that ESY was determined on an individual basis.	34 CFR §300.106(a)(2)			
26 (DC-CATS 34)	If the IEP Team determines that the child must take an alternate assessment, the IEP contains benchmarks or short-term objectives.	34 CFR §300.320(a)(2)(ii)			
27 (DC-CATS 29)	The IEP contains a description of how the child's progress toward meeting the annuals goals will be measured.	34 CFR §300.320(a)(3)(i)			
28 (DC-CATS 30)	The IEP contains a statement of when the parent(s) will be regularly informed of progress toward the goals.	34 CFR §300.320(a)(3)(ii)			
29 (DC-CATS 31)	The IEP contains a statement of special education and related services, and supplementary aids and services.	34 CFR §300.320(a)(4)			
30 (DC-CATS 40)	The IEP contains an explanation, if any, to which the student will not participate with nondisabled students in regular education.	34 CFR §300.320(a)(5)			
31 (DC-CATS 33)	If the IEP Team determines that the child must take an alternate assessment, the IEP for this student contains a statement of why the student cannot participate in the regular assessment.	34 CFR §300.320(a)(6)(ii)(A)			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
Individualized Education Program (IEP) (Student-level)					
32 (DC-CATS 35)	The IEP includes the projected date for the beginning of services and modification, and the anticipated frequency, location, and duration of those services and modifications.	34 CFR §300.320(a)(7)			
33 (DC-CATS 32)	The IEP includes a statement that the student has been informed of his/her rights, that will transfer to the student on reaching the age of majority.	34 CFR §300.320(c)			
34 (DC-CATS 36)	An IEP was developed within 30 days of a determination that the student needs special education and related services.	34 CFR §300.323(c)(1)			
35 (DC-CATS 37)	Related services were delivered to the student in accordance with his/her IEP in the period specified in the review.	34 CFR §300.323(c)(2)			
Individualized Education Program (IEP) (Student-level)					
36 (DC-CATS 38)	The student's IEP is reviewed periodically, but not less than annually to determine whether the annual goals for the student are being achieved.	34 CFR §300.324(b)(1)(i)			
Indicator 11: Least Restrictive Environment (LRE) (Student-level)					
37 (DC-CATS 39)	In selecting the LRE, there was consideration of any harmful effects on the student or on the quality of services needed.	34 CFR §300.116(d)			
38 (DC-CATS 41)	Supplemental aids and services were used before removing the student from the regular education environment.	34 CFR §300.114(a)(2)(ii)			
39 (DC-CATS 42)	The student's placement is based on his/her IEP.	34 CFR §300.116(b)(2)			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
Indicator 12: Discipline					
40 (DC-CATS 44)	On the date that a decision was made to make a removal that constitutes a change of placement, the parent was notified and provided with a copy of the procedural safeguards.	34 CFR §300.530(h)			

NOTE: In 2012-13, OSSE began using the District of Columbia Corrective Action Tracking System (DC-CATS), a web-based application, to track IDEA compliance and the correction of noncompliance on behalf of LEAs. The results of the IDEA portion of your LEA's most recent on-site monitoring visit are released via DC-CATS. The following IDEA section of this consolidated on-site monitoring report is only for informational purposes and is intended to provide the LEA with a quick summary of the results of the most recent on-site monitoring visit. All activities regarding the correction of identified noncompliance must be completed in DC-CATS.

DC-CATS can be accessed using this link: <https://dcccats.spedsis.com/>

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: IDEA-Specific Fiscal Requirements						
1.1-F-IDEA	If applicable, the LEA procured, utilized, and charged construction expenses to its IDEA grants in a manner consistent e.g., expenditure samples)	34 CFR §300.718	On file at OSSE - IDEA Phase II application approval and applicable supporting documentation.	N/A		
1.2-F-IDEA	If applicable, the LEA utilized IDEA funds for providing Coordinated Early Intervening Services (CEIS) for appropriate uses. (e.g., expenditure samples)	34 CFR §§300.226 and 300.646	On file at OSSE	N/A		
1.3-F-IDEA	If applicable, the LEA is properly tracking students who receive CEIS. (e.g., list of students receiving CEIS)	34 CFR §§300.226 and 300.646	On file at OSSE	N/A		
1.4-F-IDEA	The LEA has sought reimbursement for activities related to parentally-placed private school students with disabilities approved within its IDEA application. (DCPS Only)	34 CFR §300.134	On file at OSSE	N/A		
1.5-F-IDEA	The LEA will provide LEA MOE workbook evidence that the funds provided to an LEA under IDEA Part B were not to be used to reduce the level of expenditures for the education of children with disabilities made by the LEA from local funds below the level of those expenditures for the preceding year. (e.g., expenditure sample within the MOE workbook)	34 CFR §300.203(b)	On file at OSSE	N/A		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.6-F-IDEA	The LEA has complied with the requirement to establish eligibility for an IDEA award by budgeting at least the same total or per capita amounts from local funds as the LEA spent with local funds for the most recent prior year for which information is available. (e.g., MOE budget comparison within the Phase I application)	34 CFR §300.203(a)	On file at OSSE	N/A		
1.7-F-IDEA	If applicable to the LEA and if requested, the entity can provide evidence showing previous audit findings have been addressed. (e.g., CAP)	2 CFR §200.501	On file at OSSE	N/A		
1.8-F-IDEA	If applicable, the LEA used IDEA funds only to pay the excess cost of providing special education and related service to children with disabilities in accordance with IDEA.	2 CFR §300.202	On file at OSSE	N/A		

NOTE: In 2012-13, OSSE began using the District of Columbia Corrective Action Tracking System (DC-CATS), a web-based application, to track IDEA compliance and the correction of noncompliance on behalf of LEAs. The results of the IDEA portion of your LEAs most recent on-site monitoring visit are released via DC-CATS. The following IDEA section of this consolidated on-site monitoring report is only for informational purposes and is intended to provide the LEA with a quick summary of the results of the most recent on-site monitoring visit. All activities regarding the correction of identified noncompliance must be completed in DC-CATS.

DC-CATS can be accessed using this link: <https://dccats.spedsis.com/>

As part of OSSE's monitoring of students placed in correctional education programs, the responsible educational entity must provide the following:

- Procedures to identify and assess eligible youth who may have a disability, but have not been previously identified;
- Assurance of Notification of Interview and Consent Form;
- Student Interview Forms returned by families (if applicable);
- Procedures for youth unavailable for safety and/or medical reasons to receive comparable services based on their IEP;
- Procedures for youth to begin attending school at YSC/IYP as early as possible or to receive comparable services while awaiting enrollment in school at YSC/IYP; and
- Credentials for all special education staff/teachers (licensure, etc.)
- Student Discipline Records for students identified by OSSE Monitor
- Student Attendance Records for students identified by OSSE Monitor
- Schedules for students identified by OSSE Monitor

The Parent/Student Interview Notification Letter/Interview Consent form must be sent out to all known parents/guardians at minimum one week prior to OSSE's on-site visit.

The results included in the LEA Practice section are based on the results of the student file review portion of the on-site monitoring visit. If less than 80 percent of the files reviewed for each area are deemed compliant, the LEA must complete an additional agency-level corrective action. Please note that the agency-level corrective actions are in addition to any individual student-level corrective actions that are required in the student-level section of the IDEA report below. To resolve student level corrective actions, there are two stages, or prongs. Both Prong 1 and Prong 2 correction must occur as soon as possible, but no later than one year from the date of notification of noncompliance. To complete the Prong 1 correction, when an LEA receives written notification of a finding of noncompliance through DC-CATS, the LEA must first correct the individual student level noncompliance. Next, the LEA must demonstrate that it is now correctly implementing the specific regulatory requirement, which OSSE determines through the Prong 2 review. To complete Prong 2, OSSE reviews additional data through another file review in SEDS,

LEA PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
Least Restrictive Environment (LRE) (LEA-level)					
1 (DC CATS 1)	The LEA has a continuum of alternative placements available, including instruction in regular classes, special classes, special schools, home instruction, and instruction in hospitals and institutions.	34 CFR §300.301			
Individual Education Program (IEP) (LEA-level)					
2 (DC CATS 2)	Youth who do not attend the regular school because of safety or medical reasons receive comparable services based on their IEP.	34 CFR §§300.301, 300.530(d), and 300.115(b)(1)			
3 (DC CATS 3)	Youth attend the school at the facility (YSC, IYP or DYRS) at the earliest possible time or receive comparable services while awaiting enrollment in the school, unless documentation is available showing why neither option was possible (e.g., student was at court or hearing on specific date.)	34 CFR §§300.101, 300.2(b), and 300.323(e)(f)			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
4 (DC CATS 4)	The LEA ensures that student IEPs are accessible to all who are responsible for their implementation (regular education teachers, special education teachers, and related service providers).	34 CFR §300.323(d)(1)			
Data (LEA-level)					
5 (DC CATS 5)	The LEA has made all documents related to the individual student file reviews accessible in SEDS.	34 CFR §300.211			
6 (DC CATS 6)	The LEA responds to requests for data in a timely manner.	34 CFR §300.211			
Teacher Certification					
7 (DC CATS 7)	Special education staff at the school are certified or credentialed by OSSE for the services they provide, in accordance with District of Columbia Regulations.	34 CFR §§300.18 and 300.149(a)(2)(ii)			
Dispute Resolution (LEA-level)					
8 (DC CATS 8)	The LEA provides information to OSSE regarding State complaints within 10 days of request.	OSSE State Complaint Policy			
9 (DC CATS 9)	The LEA timely implements corrective actions contained in the State complaint decision letter.	34 CFR §§300.600(a) and 300.200			
National Instructional Materials Accessibility Standards (NIMAS) (LEA-level)					
10 (DC CATS 10)	The LEA provides instructional materials to blind students or other students with print disabilities.	34 CFR §300.172			
STUDENT FILE REVIEW					
Initial Evaluation and Reevaluation					
11 (DC CATS 12)	Upon initial referral, or parent request for evaluation, parents were provided procedural safeguards.	34 CFR §300.504(a)(1)			
12 (DC CATS 13)	The signature for parent consent was obtained prior to the initial evaluation.	34 CFR §300.300(a)			
13 (DC CATS 14)	A variety of assessment tools and strategies were used to gather relevant functional, developmental, and academic information about the child, including information provided by the parent.	34 CFR §300.304(b)(1)			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
14 (DC CATS 15)	The signature for parent consent was obtained prior to the date of reevaluation.	34 CFR §300.300(c)(1)			
15 (DC CATS 16)	A variety of sources were used to determine eligibility.	34 CFR §300.306(c)			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
Individualized Education Program (IEP) (Student-level)					
16 (DC CATS 17)	Parent/student was invited to the most recent IEP meeting.	34 CFR §300.322(a)(1)			
17 (DC CATS 18)	Parent/student was notified of IEP meeting early enough to ensure they will have an opportunity to attend.	34 CFR §300.322(a)(1)			
18 (DC CATS 19)	As evidence of parent participation, the individual who signed IEP meets the definition of "parent" in 34 CFR §300.30.	34 CFR §300.30			
19 (DC CATS 20)	General education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)			
20 (DC CATS 21)	Special education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)			
21 (DC CATS 22)	The LEA designee, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)			
22 (DC CATS 23)	An individual who can interpret evaluation results, who may be a member of the team described in indicators 19-21, attended the IEP meeting, unless excused.	34 CFR §§300.321(a) and 300.321(e)			
23 (DC CATS 24)	IEP includes a Present Level of Academic Achievement and Functional Performance (PLAAFP) that states how disability affects involvement in general curriculum (ages 6-21) or how the disability affects student's involvement in appropriate activities (ages 3-5).	34 CFR §300.320(a)(1)			
24 (DC CATS 25)	The IEP contains a statement of measurable annual goals (aside from related service(s) goals) designed to meet the student's needs that result from his/her disability.	34 CFR §300.320(a)(2)(i)			
25 (DC CATS 27)	In the event that the student's behavior impedes the learning of the student or other students, the IEP team considered the use of positive behavioral interventions and supports and other strategies to address behavior.	34 CFR §300.324(a)(2)(i)			
26 (DC CATS 26)	The IEP contains a statement of measurable annual related services goals (in the area(s) of ST, PT, OT, counseling or APE) designed to meet the student's needs that result from his/her disability.	34 CFR §300.320(a)(2)(i)(B)			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
27 (DC CATS 28)	File contains evidence that ESY was determined on an individual basis.	34 CFR §300.106(a)(2)			
28 (DC CATS 34)	If the IEP Team determines that the child must take an alternate assessment, the IEP contains benchmarks or short-term objectives.	34 CFR §300.320(a)(2)(ii)			
29 (DC CATS 29)	The IEP contains a description of how the child's progress toward meeting the annuals goals will be measured.	34 CFR §300.320(a)(3)(i)			
30 (DC CATS 30)	The IEP contains a statement of when the parent(s) will be regularly informed of progress toward the goals.	34 CFR §300.320(a)(3)(ii)			
31 (DC CATS 31)	The IEP contains a statement of special education and related services, and supplementary aids and services.	34 CFR §300.320(a)(4)			
32 (DC CATS 40)	The IEP contains an explanation, if any, to which the student will not participate with nondisabled students in regular education.	34 CFR §300.320(a)(5)			
33 (DC CATS 33)	If the IEP Team determines that the child must take an alternate assessment, the IEP for this student contains a statement of why the student cannot participate in the regular assessment.	34 CFR §300.320(a)(6)(ii)(A)			
34 (DC CATS 35)	The IEP includes the projected date for the beginning of services and modification and the anticipated frequency, location, and duration of those services and modifications.	34 CFR §300.320(a)(7)			
35 (DC CATS 32)	The IEP includes a statement that the student has been informed of his/her rights, that will transfer to the student on reaching the age of majority.	34 CFR §300.320(c)			
36 (DC CATS 36)	An IEP was developed within 30 days of a determination that the student needs special education and related services.	34 CFR §300.323(c)(1)			
37 (DC CATS 37)	Related services were delivered to the student in accordance with his/her IEP in the period specified in the review.	34 CFR §300.323(c)(2)			
38 (DC CATS 38)	The student's IEP is reviewed periodically, but not less than annually to determine whether the annual goals for the student are being achieved.	34 CFR §300.324(b)(1)(i)			

LEA PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Number of Student Level Findings	Determination	Remarks
Indicator 11: Least Restrictive Environment (LRE) (Student-level)					
39 (DC CATS 39)	In selecting the LRE, there was consideration of any harmful effects on the student or on the quality of services needed.	34 CFR §300.116(d)			
40 (DC CATS 41)	Supplemental aids and services were used before removing the student from the regular education environment.	34 CFR §300.114(a)(2)(ii)			
41 (DC CATS 42)	The student's placement is based on his/her IEP.	34 CFR §300.116(b)(2)			
Indicator 12: Discipline					
42 (DC CATS 43)	The parent, LEA, and relevant members of the IEP team met within 10 school days of the decision to remove the student to determine if the behavior was a manifestation of the student's disability.	34 CFR §300.530(e)			
43 (DC CATS 44)	On the date that a decision was made to make a removal that constitutes a change of placement, the parent was notified and provided with a copy of the procedural safeguards.	34 CFR §300.530(h)			
44 (DC CATS 45)	FAPE provided during suspension.	34 CFR §§300.101(a) and 300.530(d)			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. Title I Part A: Improving the Academic Achievement of the Disadvantaged: Standards, Assessment and Accountability						
1.1	The LEA demonstrates that it has adopted challenging academic standards and complied with requirements for assessments.	ESEA §1111(b)(1)	- On file at OSSE			
1.2	The LEA complies with the State's requirement of completing the Home Language Survey at initial enrollment to identify potential ELL students.	ESEA §1111(b)(6)		-Three signed and dated copies of the Home Language Survey as returned by parents to the LEA.		
Indicator 2. Title I Part A: Improving the Academic Achievement of the Disadvantaged: Instructional Support						
2.1	The LEA complies with parental involvement requirements.	ESEA §1118	1. Dated parent involvement policy for current and prior year OR 1. Signed and dated document attached to the compact indicating the parental involvement policy has been reviewed and does not need to be updated for the subsequent year (DCPS only) 2. Dated School Parent Compact (DCPS only)	1. Documentation that the parental involvement policy, including the compact (DCPS only), was developed with meaningful consultation with parents and that the policy is updated periodically: - Agendas, sign in sheets and meeting minutes documenting parents are involved in the development of the policy 2. Documentation that LEA/school parental involvement policies, including the compact (DCPS only), were distributed to all Title I parents: - Mailing records or follow-up documents if distributed otherwise 3. Documentation that LEA reviews the effectiveness of school parental involvement activities: - Agendas, sign-in sheets, meeting minutes, surveys, interviews - Policy revisions 4. Documentation that LEA offers a flexible number of meetings, such as meetings in the morning or evening and may provide, with funds provided under this part, transportation, child care, or home visits as such services related to parental involvement: - Parent involvement policy, agendas, sign-in sheets, meeting minutes		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.1 CONTINUED	CONTINUED	CONTINUED	CONTINUED	5. LEA ensures that parents are involved in making decisions about the use of parental involvement funds: <ul style="list-style-type: none"> - Record of parent comments or input about use of funds for parental involvement, results of parent surveys - Translated documents, announcements, fliers 6. Parental involvement policy, shows evidence that the LEA and schools have carried out the six requirements to build parents' capacity to be involved in school (DCPS only): <ul style="list-style-type: none"> - Program information to parents (LEA provides Title I program information, including the State's academic content and achievement standards to parents); - Materials and training (training and parent materials the LEA provides so that parents can become more involved with student achievement); - Educate educators (LEA ensures that educators understand the importance of communicating and working with parents to build ties with the school); - Headstart, Preschool coordination (LEA coordinates with and assists Evenstart, Headstart, or other preschool parent involvement programs to increase participation in the education of their children); - Understandable communication (LEA ensures that all communication to parents is in a format and language that parents can understand); and - Other reasonable support (LEA supports parent requests for involvement) 		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.2	The LEA ensures that schools develop schoolwide programs that use the flexibility provided to them by the statute to improve the academic achievement of all students in the school. The LEA ensures that all required components are included in the schoolwide plan.	ESEA §1114	<p>1. Comprehensive Needs Assessment that identifies the school's strengths and challenges in key areas that affect student achievement</p> <p>2. Schoolwide Plan that describes how it will achieve the goals it has identified as a result of its needs assessment. The schoolwide plan must:</p> <ul style="list-style-type: none"> - Identify reform strategies, aligned with the needs assessment, that are research-based - Offer high-quality, ongoing professional development; - Create strategies to attract effective teachers - Create strategies to increase parental involvement - Develop plans to assist preschool students through the transition from early childhood programs to local elementary school programs - Identify measures to include teachers in decisions regarding the use of academic assessments - Conduct activities to ensure that students who experience difficulty attaining proficiency receive effective, timely, additional assistance - Coordinate and integrate Federal, State and local services and programs <p>3. Sample schoolwide plans from selected schools, if applicable</p> <p>4. List of schools operating schoolwide programs, if applicable</p>	<p>1. Documentation that plan was developed in a one year period:</p> <ul style="list-style-type: none"> - Agendas, sign-in sheets, notes, planning documents <p>2. Documentation that LEA provides technical assistance to schools in the development and implementation of the components of the schoolwide program:</p> <ul style="list-style-type: none"> - Agendas, sign-in sheets, guidance, list of schools operating schoolwide programs <p>3. Copies of evaluations for the annual review of schoolwide plan components:</p> <ul style="list-style-type: none"> - Schoolwide plan and revisions, agendas, sign-in sheets, meeting minutes <p>4. Documentation that schoolwide plan is annually developed, reviewed and revised with parents:</p> <ul style="list-style-type: none"> - Agendas, sign-in sheets and parent comments <p>5. Translated plan for parents and stakeholders</p> <p>6. Documentation that LEA consolidates funds:</p> <ul style="list-style-type: none"> - Ledger, fiscal records 		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.2 CONTINUED	CONTINUED	CONTINUED	CONTINUED	<p>7. Documentation of the implementation of schoolwide reform strategies that:</p> <ul style="list-style-type: none"> - Provide opportunities for all children to meet proficient and advanced levels of student academic achievement - Use effective methods and instructional strategies that are based on scientifically based research that strengthens the core academic program - Increases the amount of learning time - Includes strategies for serving underserved populations - Includes strategies to address the needs of all children in the school, but particularly low achieving children and those at risk of not meeting state standards - Address how the school will determine if those needs of the children have been met - Are consistent with and are designed to implement state and local improvement plans, if any. <p>8. Documentation of strategies to increase parental involvement, such as literacy services</p> <p>9. Description how the school will provide individual academic assessment results, in a language the parents can understand, to parents</p> <p>10. Documentation that the LEA provides high quality and on-going professional development for teachers, principals, and paraprofessionals</p> <p>11. Plans for assisting preschool children in the transition from early childhood programs such as Head Start, Even Start, Early Reading First, or a state-run preschool program</p>		
2.2 CONTINUED	CONTINUED	CONTINUED	CONTINUED	<p>12. Documentation of opportunities for teachers to be included in the decision making related to the use of academic assessment results leading to the improvement of student achievement</p> <p>13. Documentation of activities and programs at the school level to ensure that students having difficulty mastering proficient and advanced levels of the academic achievement are provided with effective, timely additional assistance</p> <p>14. Documentation of the coordination and integration of Federal, State and local funds</p>		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.3	The LEA complies with targeted assistance program requirements. The LEA ensures that all required elements are included in the targeted assistance plan.	ESEA §1115	1.Targeted assistance plan 2. Targeted assistance plans for selected schools and list of targeted assistance schools, if applicable	1. Documentation of multiple educationally related, objective criteria for eligible students at each grade level targeted 2. Description of how students are determined eligible for targeted assistance services 3. List of all students showing students in most need of service 4. Description of how services will be delivered to targeted assistance students 5. Schedule of Title I funded teachers and eligible targeted assistance students 6. Documentation that the school incorporates plans for students served into existing school planning: - Description of how services will be delivered to students and how they are coordinated with the regular classroom. 7. Evidence that parent refused services for their child, if applicable (i.e. written communication from parent). 8. Evidence of progress of participating students is reviewed on an ongoing basis and if necessary, revisions made to the TAS program.		
2.3 CONTINUED	CONTINUED	CONTINUED	CONTINUED	9. Documentation of instructional strategies based on scientifically based research that strengthen the core academic program of the school that: - provide an accelerated, high-quality curriculum and minimize the removal of children from the regular classroom during regular school hours; - give primary consideration to providing extended learning time, such as extended school year, before and after school and summer programs (e.g. plan related to student deficiency tied to the core academic programs and the TAS) 10. Professional development documentation, training materials, agendas, sign-in sheets, schedules of professional development related to needs of Title I students and building teacher capacity to meet those needs 11. Documentation that shows the coordination and support of the regular education program, which may include services to assist preschool children in the transition from early childhood programs: - Plans that address transitional services 12. Documentation that the LEA implements strategies to increase parental involvement: - Parent involvement plan 13. Documentation that the LEA coordinates and integrate Federal, State, and local funds: - School plan, description of programs		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.4	The LEA has a current approved Local Education Plan with all required components.	ESEA §1112	- On file at OSSE			
2.5	The LEA complies with required statutory set-asides for parental involvement (1%) for any LEA that receives \$500,000 in Title I funds.	ESEA §1118 (a)(3)(A)	- On file at OSSE			
2.6	The LEA complies with the required 20% set-aside for priority and focus schools classification.	DC ESEA Flexibility Waiver, Principle 2, §2.D - E, approved	- On file at OSSE			
2.7	Within LEA Allocation Procedures (DCPS only). Evidence that the LEA complies with requirements with regard to allocating funds to eligible school attendance areas or schools in rank order of poverty based on the number of children from low-income families who reside in an eligible attendance area.	ESEA §1113	- On file at OSSE			
2.8	Compliance with Equitable Services to Nonpublic School Student's Requirements (DCPS only). Evidence the LEA complies with requirements of equitable services to nonpublic schools including but not limited to timely implementation, consultation, evaluation and program monitoring.	ESEA §§1120		<p>1. LEA complies with requirements for Title I with regard to the plan, design, and implementation of services to eligible private school children, their teachers and their families. Consultation has occurred between the LEA and private school officials or its representatives regarding services for private school children prior to the LEA making any decision:</p> <ul style="list-style-type: none"> - Consultation meeting documentation, agendas, sign-sheets, meeting minutes, supplemental handouts - Signed affirmations of consultation - Program evaluation - Detailed services delivery plan - Private school handbook <p>2. LEA has policies and procedures for collecting signed and written affirmation from either private school officials or representatives</p> <ul style="list-style-type: none"> - Signed affirmations of consultation 		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.8 CONTINUED	CONTINUED	CONTINUED	CONTINUED	3. Private school children that have been selected for services reside in a participating public school attendance area and meet the multiple academic criteria established by the LEA in consultation with private school officials: - Rubric - Ranking eligibility data forms - Proportionality data of attendance - Sample email documentation - List of students (confidential but please make available upon request) - Participation letter, list of participating schools		
2.8 CONTINUED	CONTINUED	CONTINUED	CONTINUED	4. Documentation that all teachers and/or paraprofessionals employed by the LEA who provide services to private school children meet the state licensure and certification requirements: - Copies of certificates (degrees) - Evidence of reported training - Copy of written agreement 5. Sample of method used to calculate poverty data 6. Documentation of an evaluation for all programs serving private school students and that modifications are made, as necessary: - Monitoring process, observations, and providers' evaluation - Monthly providers' reports, and copies of meeting minutes 7. Policies and procedures to ensure the maintenance of record for third party contract(s) and invoices from the third party contractor: - Copies of contracts for each service provider on file - Copies of invoices representing each contractor		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.8 CONTINUED	CONTINUED	CONTINUED	CONTINUED	<p>8. Documentation that the LEA regularly supervises the provision of Title I services to private school children:</p> <ul style="list-style-type: none"> - Description of monitoring process - Copies of observations through on-site visits - Copies of providers' evaluations - Copies of monthly providers' reports, and meeting minutes <p>9. LEA maintains control of the Title I funds, materials, equipment and property that support services to private school children:</p> <ul style="list-style-type: none"> - Inventory check list - Title Program Equipment Assessment Form - Allocations documentation - Record for tracking expenditures through reimbursement process (e.g., workbook submissions) - Sample letters, invoices, and individual tracking <p>10. Policies and procedures to ensure Title I funded materials and equipment located at the private school are properly labeled:</p> <ul style="list-style-type: none"> - List of equipment with tags, labels, inventory check list, and location 		

PROGRAM MANAGEMENT AND ADMINISTRATION						
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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.8 CONTINUED	CONTINUED	CONTINUED	CONTINUED	11. Evidence of awareness of SEA-complaint procedures for private school officials: <ul style="list-style-type: none"> - SEA- complaint procedures stated in DCPS LEA's Equitable Services Handbook - Documentation that procedures are disseminated yearly at the citywide consultation 12. Evidence that Title I, Part A services, materials, and equipment are used for secular, neutral, and non-ideological instruction only with Title I served students 13. Nonpublic school components of Title I, Part A are administered by, and under the control of the LEA: <ul style="list-style-type: none"> - Meetings with private school officials (e.g., agenda, sign-in sheets) - LEA personnel records show hiring of personnel for the nonpublic school Title I program - Documentation of payments for contract or services - Documentation of regular visits by the LEA 		
2.8 CONTINUED	CONTINUED	CONTINUED	CONTINUED	14. Reserved funding for equitable services using a per pupil amount that is calculated based on the total public and private school student enrollment (for participating private schools). The amount used will be based on the higher of 1) the current amount of Title I, Part A funds expended on professional development or 2) the amount of hold-harmless spending to include expenditures for professional development from the FY 2001 Eisenhower and Class Size Reduction Programs. [Title IX, Section 9501(b)(3)(B)]: <ul style="list-style-type: none"> - Narrative description of formula used to determine amount of reserve - Evidence of the methodology used for the equitable services calculation - Program staff are readily able to describe compliant methodology 		

PROGRAM MANAGEMENT AND ADMINISTRATION						
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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 3. General Grants Management Administration (Program)						
3.1	An LEA disseminates OSSE's Complaint Policy to parents of students, and appropriate private school officials or representatives.	34 CFR §299.11(d)		- Evidence of dissemination of OSSE's complaint policy to parents of students, and appropriate private school officials or representatives.		
3.2	An LEA maintains documentation that complaints were resolved.	2 CFR §200.331(d)		- If applicable, correspondence that complaints were resolved (email, letters)		
3.3	An LEA maintained copies of the most recent monitoring report from the DC Public Charter School Board. (Charters Only)	2 CFR §200.331(d)		- Most recent monitoring report from PCSB		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: Title I - Specific Fiscal Requirements						
1.1-F-TitleI	Evidence that the LEA demonstrated that the level of State and local funding remains constant from year to year (Maintenance of Effort reporting requirement) (DCPS only).	ESEA §§1120A(a) and 9521	- On file at OSSE	N/A		
1.2-F-TitleI	Evidence that the LEA complied with the requirement to provide state and local resources in Title I schools that are comparable to the services provided in non-Title I schools (comparability reporting requirement) (DCPS only).	ESEA §1120A(c)	- On file at OSSE	N/A		
1.3-F-TitleI	Evidence that the LEA complied with the 15% limit on carryover.	ESEA §1127	- On file at OSSE	N/A		
1.4-F-TitleI	Schoolwide: The LEA complies with the supplement not supplant requirement.	ESEA §1120A(b)	- Either: A) ESSA test: Written methodology explaining how state and local funds are distributed to schools in a Title I-neutral manner; or B) Three NCLB tests, proving that each individual Title I cost in a schoolwide school did not replace local fund costs or use Title I funds to meet other laws. For more information on demonstrating compliance with the SNS test under NCLB in a schoolwide school, visit: https://osse.dc.gov/publication/esea-title-i-schoolwide-guidance	N/A		
1.5-F-TitleI	Targeted Assistance: The LEA complies with the supplement not supplant requirement. Specific Title I-funded services provided to identified Title I students must be supplementary to the services otherwise provided with state and local funds.	ESEA §1120A(b)	- Either: A) ESSA test: Written methodology explaining how state and local funds are distributed to schools in a Title I-neutral manner; or B) Three NCLB tests, proving that each individual Title I cost in a targeted assistance school did not replace local fund costs or use Title I funds to meet other laws. For more information on the NCLB methods of meeting the SNS requirement for targeted assistance schools and LEA-level spending, see pp. 37-41 of the U.S. Department of Education's (USED's) 2008 Fiscal Guidance at http://www2.ed.gov/programs/titleiparta/fiscalguid.doc	N/A		

FISCAL MANAGEMENT AND ADMINISTRATION						
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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.6-F-TitleI	LEA-level Expenditures: The LEA complies with the supplement not supplant requirement.	ESEA §1120A(b)	- Either: A) ESSA test: Written methodology explaining how state and local funds are distributed to schools in a Title I-neutral manner; or B) NCLB tests, proving that each individual LEA-level Title I cost did not replace local fund costs or use Title I funds to meet other laws. For more information on the NCLB methods of meeting the SNS requirement for targeted assistance schools and LEA-level spending, see pp. 37-41 of the U.S. Department of Education's (USED's) 2008 Fiscal Guidance at http://www2.ed.gov/programs/titleiparta/fiscalguid.doc	N/A		
1.7-F-TitleI	Evidence that obligations for the current grant period did not incur prior to the grant award date.	34 CFR §76.708	- On file at OSSE	- On file at OSSE		
1.8-F-TitleI	If applicable to the LEA, and if requested, the LEA can provide evidence showing previous audit findings have been addressed.	2 CFR §200.501	- On file at OSSE	N/A		
1.9-F-TitleI	The LEA maintains an organizational chart on file and it is up-to-date to ensure segregation of duties.	2 CFR §200.303	- Copy of current organizational chart and organizational chart for the period to be monitored	N/A		
1.10-F-TitleI	The LEA can demonstrate that grant expenditures were necessary, reasonable, allocable, and only for authorized purposes.	2 CFR §§200.403-405	- Expenditure sample and supporting documentation	N/A		

PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. Improving the Academic Achievement: Academic Standards and Accountability						
1.1	State/Public Agency (S/PA) demonstrates that its educational program is in alignment with the same challenging state academic standards that all children/youth in the state are expected to meet.	ESEA §1401(a)(1); §1414(a)(1)(A); §1414(c)(4)	<ul style="list-style-type: none"> - Curriculum; Lesson Plans; - Subject Calendars; and - APEX Support Plan (Credit Recovery). 			
1.2	S/PA must offer an education program in the institution and children and youth must be enrolled for at least 20 hours per week.	ESEA §1412(a)(1)(A)	<ul style="list-style-type: none"> - Roster of students; - Student(s) attendance records; and - School/Student Schedule(s). 			
1.3	S/PA provides an annual count to the State for the number of students residing in the institution during the required window of time to generate Title I funds.	ESEA §1412(a)(2)	- On file at OSSE			
1.4	S/PA assesses the education needs of all eligible students through the administration of assessments upon entry to the institution.	ESEA §1414(c)(1)	<ul style="list-style-type: none"> - Student Assessment Policy; - Assessment of Educational Needs; and - Initial Assessment(s). 			
1.5	S/PA works to ensure students with disabilities meet an existing individualized education program and has a policy or procedure for notifying the child's or youth's local school if the child or youth— (A) is identified as in need of special education services while the child or youth is in the institution receiving Title I, Part D funding; and (B) intends to return to the local school.	ESEA §1414(c)(15)	<ul style="list-style-type: none"> - Memorandum of Understanding; - Independent Learning Plan (ILP) Process 			
1.6	S/PA works with children and youth who dropped out of school before entering the institution that receives Title I, Part D funding to encourage the children and youth to reenter school once the term of the incarceration is completed or provide the child or youth with the skills necessary to gain employment, continue the education of the child or youth, or achieve a secondary school diploma or its recognized equivalent if the child or youth does not intend to return to school.	ESEA §1414(c)(16)	<ul style="list-style-type: none"> - Independent Learning Plan (ILP) Process; - APEX Support Plan (Credit Recovery); and - Evidence of college and career program(ming). 			

PROGRAM MANAGEMENT AND ADMINISTRATION

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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 2. Parental Involvement						
2.1	S/PA works with parents to secure parents' assistance in improving the educational achievement of their children and youth, and preventing their children's and youth's further involvement in delinquent activities.	ESEA §1414(c)(14)	<ul style="list-style-type: none"> - Letters to Parents; - Evidence of Family Meeting(s); - Family Engagement Activities - Sign-in Sheets; and - Parent Communication Log. 			
Indicator 3: General Grants Management Administration						
3.1	S/PA carried out the evaluation requirements of section 9601 and used the results to plan and improve the program.	ESEA §1414(c)(6)	- Institution-wide Needs Assessment			
3.2	S/PA coordinated with other appropriate state/federal programs, such as programs under Title I of Public Law 105-220 (Workforce Investment Act of 1998), vocational and technical education programs, State and local dropout prevention programs, and special education programs).	ESEA §1414(c)(8)	<ul style="list-style-type: none"> - Meeting minutes; -Agenda; and -Sign-in sheets. 			
3.3	Policies and procedures related to ensuring the privacy of student data collection which adhere to state and federal requirements are in place.	34 CFR Part 99; 20 USC 1232g(b)(1)(B); FERPA	- Student Privacy Data Policy			
Indicator 4: Transition Services						
4.1	S/PA coordinates with businesses for training and mentoring for participating children and youth.	ESEA §1414(c)(12)	<ul style="list-style-type: none"> - Statement(s) of Work; - Agreements; - Communication to Businesses; and - Mentoring Programs. 			
4.2	S/PA assists locating alternative programs through which students can continue their education if the students are not returning to school after leaving the correctional facility/institution receiving Title I, Part D funding.	ESEA §1414(c)(13)	<ul style="list-style-type: none"> - Transition Policy; - Student Roster; and - Evidence of Transition Meetings. 			
4.3	S/PA demonstrates projects that facilitate the transition of children and youth from State-operated institutions to schools served by LEAs.	ESEA §1418 (a)(1)	- Independent Learning Plan (ILP) Process			

PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
4.4	S/PA has transition services that promote successful reentry of youth offenders, who are age 20 or younger and have received a secondary school diploma or its recognized equivalent, into postsecondary education, or vocational and technical training programs, through strategies designed to expose the youth to, and prepare the youth for, postsecondary education, or vocational and technical training programs.	ESEA §1418 (a)(2)	- Evidence of college and career program(ming)			

PROGRAM MANAGEMENT AND ADMINISTRATION						
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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
4.5	S/PA demonstrates how it provided additional services to children and youth, such as career counseling, distance learning, and assistance in securing student loans and grants.	ESEA §1414(c)(18)	- Job descriptions and names of staff assigned to providing career advice, distance learning, and assistance seeking student loans and grants			
Indicator 5: Staff and Professional Development						
5.1	Teachers and other qualified staff are appropriately trained to work with students with disabilities and other students with special needs taking into consideration the unique needs of such students.	ESEA §1414(c)(17)	- Teacher Certifications			
5.2	S/PA provides appropriate professional development for teachers and other staff.	ESEA §1414(c)(10)	- Professional Development Schedule; - Training Agendas; - Training Sign-in Sheets; and - Training Certificates.			
5.3	S/PA designated an individual in the institution receiving Title I, Part D funding to be responsible for issues relating to the transition of children and youth from such facility or institution to locally operated programs.	ESEA §1414(c)(11)	- Organizational Chart			
5.4	S/PA consult with experts and provides the necessary training for appropriate staff, to ensure that the planning and operation of institution-wide projects under section 1416 are of high quality.	ESEA §1414(c)(5)	- Sign in sheets; - Statements of Work; - Signed contracts; and - Training certificates.			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: Fiscal Management						
1.1	S/PA can provide a copy of the single audit for the monitoring period being reviewed.	2 CFR §200.501	- Single Audit; and - Fiscal Audit.			
1.2	Amounts expended during the grant period align with the activities in the approved application and budget.	2 CFR §200.302(b)(5)	- On file at OSSE			
1.3	S/PA can demonstrate internal fiscal controls to account for uses of funds in a way that meets federal requirements.	2 CFR §200.303	- Financial Policies & Procedures Manual			
1.4	S/PA complies with the maintenance of effort (MOE) fiscal requirement (level of state and local funding remains constant from year to year).	ESEA §9521(a)	- On file at OSSE			

FISCAL MANAGEMENT AND ADMINISTRATION						
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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 2: Procurement						
2.1	SA can provide the policy(ies) for the process of an expense going from the budget page to ordering/ procurement, to the accurate documentation of expenditures maintained for Title I, Part D.	2 CFR §200.302(a)	- Procurement Policies & Procedures			
2.2	S/PA can provide evidence showing purchasing practices and policies are in writing (e.g., procurement policy).	2 CFR §200.318(a)	- Procurement Policies & Procedures			
2.3	S/PA can demonstrate internal controls are in place to ensure that contract requirements are being fulfilled by vendors consistent with terms of the contract.	2 CFR §200.318(b)	- Procurement Policies & Procedures			
2.4	S/PA can provide evidence demonstrating that expenditure transaction files are maintained in such a manner that documents supporting any transaction can be easily located.	2 CFR §200.302(b)(3)	Record Retention Policy			
Indicator 3: Financial Management						
3.1	S/PA can demonstrate internal controls are in place to ensure that expenditures coded to Title I, Part D funds are consistent with the approved application.	2 CFR §200.303(a)	- Title I, Part D Financial Tracker			
3.2	S/PA can show evidence that Title I, Part D expenditures are reasonable, allocable, and necessary through a sampling of supporting documentation for expenditures from workbook review.	2 CFR § 200.403 - 405, ESEA §§1415(a)(1)(A)&(B)	- On file at OSSE			
3.3	S/PA can provide documentation of the policy(ies) and procedures for accounting practices, budgeting process (tracking and reporting of expenditures), procurement practices, case management practices, and information documentation management to include requirements for protecting personal identifiable information and electronic records (e.g., accounting/budget policy handbook).	2 CFR §§200.302, 200.303 and 200.318	- Fiscal Manual			
3.4	S/PA reserves the appropriate amount of funds as required for transition services (not less than 15% but not more than 30%).	ESEA §1418	- Title I, Part D Financial Tracker			

FISCAL MANAGEMENT AND ADMINISTRATION						
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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 4: General Accounting Practices						
4.1	S/PA can show evidence which demonstrates that accounting policies and procedures manual are accessible, up-to-date and in use (e.g., current and dated financial and employee handbooks to include the name of the S/PA).	2 CFR §200.302	- Financial Policies & Procedures Manual			
4.2	S/PA can provide evidence of financial operations and procedures which demonstrate adherence to the requirement to segregate duties (e.g., financial policy handbook).	2 CFR §§200.302 and 200.303	- Financial Policies & Procedures Manual			
4.3	S/PA can show evidence which demonstrates how accounting records are identified and reviewed in the accounting system.	2 CFR §200.302	- Accounting records			
4.4	SA can show evidence to demonstrate how specific program activities accounts are separated and documented in the accounting system.	2 CFR §200.302	- Accounting Records			
4.5	S/PA can provide evidence which demonstrates that financial records and relevant supporting documentation are retained for a minimum of three years from the date of submission of the financial expenditures report (e.g. record retention policy).	2 CFR §200.333	- Record Retention Policy			
Indicator 5: Equipment Management Controls						
5.1	The S/PA can provide evidence to show that equipment management and control policies over equipment are in writing and demonstrate how it safeguards equipment.	2 CFR §§200.313(d)(3) and 200.303	- Equipment Management & Control Policy			
5.2	The S/PA can show evidence to support the purchase of equipment with federal funds. All purchases should be reasonable, allocable and allowable. Equipment must be properly tagged, properly safeguarded from unauthorized access or use, and located where indicated on the inventory list. Equipment inventory list must contain the following: a. Description of item; b. Serial number or other identification number; c. Funding Source (2 CFR 200.313(d)(1) also requires the FAIN); d. Who holds the title; e. Acquisition date; f. Cost, including percentage of Federal participation in the cost; g. Location; h. Use and condition; i. Disposition data, including the date of disposal and sales price or the method used to determine current fair market value. (Example: equipment inventory log).	2 CFR §200.313(d)(1); 2 CFR §200.403 - 405	- Equipment Inventory List			

PROGRAM MANAGEMENT AND ADMINISTRATION						
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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.1	The LEA has a current approved Local Education Plan with all required components.	ESEA §2122	- On file at OSSE			
Indicator 2. General Grants Management Administration (Program)						
2.1	The LEA maintained documentation that complaints were resolved.	2 CFR §200.331(d)		- If applicable, correspondence that complaints were resolved (email, letters)		
2.2	The LEA maintained copies of the most recent monitoring report from the DC Public Charter School Board (Charters Only).	2 CFR §200.331(d)		Most recent monitoring report from PCSB		
2.3	Professional development activities meet the ESEA definition for professional development.	ESEA Section 9101 (34)		- Agenda, sign- sheets, meeting minutes, training materials of professional development activities that improve and increase teachers' knowledge of the academic subjects teachers teach.		
2.4	A needs assessment was conducted with the involvement of teachers, including teachers participating in programs under subpart A of Title I, and principals. The needs assessment takes into account activities that need to be conducted in order to give teachers the subject matter knowledge and skills and principals the instructional leadership aptitude necessary to help teachers provide students with the opportunity to meet State and local student academic achievement standards.	ESEA Section §2122 (c)(2)	- Professional Development needs assessment and a list of participants engaged in the development process - Teacher/principal surveys, list of staff serving on professional development committees, agendas, sign-in sheets, meeting minutes			
2.5	Title II, Part A activities have a substantial, measurable and positive impact on student achievement and are used as part of a broader strategy to eliminate the achievement gap.	ESEA §2122 (b)(2)	- PD Calendar - PD plan aligned with student learning data from various assessments (e.g., DC Statewide Assessments, running records and other teacher constructed records)			
2.6	Develop or improve a rigorous, transparent and fair evaluation and support systems for teachers, principals, and other school leaders that is based in part on evidence of student achievement, which may include student growth; and shall include multiple measures of educator performance and provide clear, timely, and useful feedback to teachers, principals, or other school leaders.	ESEA §2103(b)(3)(A)	- On file at OSSE			
2.7	Meaningfully consult with teachers, principals and other school leaders, paraprofessionals, specialized instructional support personnel, charter school leaders, parents, community partners, and other organizations or partners with relevant and demonstrated expertise in the planning of activities to be carried out to meet the statutory purpose of Title II, Part A.	ESEA 2122(b)(7)		- Agendas, sign-in sheets, meeting minutes		
2.8	Develop and implement initiatives to assist in recruiting, hiring, and retaining effective teachers particularly in low-income schools with high percentages of ineffective teachers and high percentages of students who do not meet the challenging State academic standards, to improve within-district equity in the distribution of teachers.	ESEA §2103(b)(3)(A)		- Recruitment plan		

PROGRAM MANAGEMENT AND ADMINISTRATION

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2.9	Title II, Part A activities will provide students from low-income families and minority students with greater access to effective teachers, principals, and other school leaders.	ESSA §2001 and 2102 (b)	- Plan describing LEA's process to access effective teachers, principals and schools leaders			
3. Equitable Services (DCPS only)						
3.1	An LEA disseminates OSSE's Complaint Policy to parents of students, and appropriate private school officials or representatives.	34 CFR §299.11(d)		Evidence of dissemination of OSSE's complaint policy to parents of students, and appropriate private school officials or representatives.		
3.2	Compliance with Equitable Services to Nonpublic School Student's Requirements (DCPS only). Evidence the LEA complies with requirements of equitable services to nonpublic schools including but not limited to timely implementation, consultation, evaluation and program monitoring.	ESEA §§9501		<p>1. LEA complies with requirements for Title II with regard to the plan, design, and implementation of services to eligible private school children, their teachers and their families. Consultation has occurred between the LEA and private school officials or its representatives regarding services for private school children prior to the LEA making any decision:</p> <ul style="list-style-type: none"> - Consultation meeting documentation, agendas, sign-sheets, meeting minutes, supplemental handouts - Signed affirmations of consultation - Program evaluation - Detailed services delivery plan <p>2. LEA has policies and procedures for collecting signed and written affirmation from either private school officials or representatives</p> <ul style="list-style-type: none"> - Signed affirmations of consultation 		

PROGRAM MANAGEMENT AND ADMINISTRATION

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3.2 CONTINUED	CONTINUED	CONTINUED	CONTINUED	3. Documentation that all teachers and/or paraprofessionals employed by the LEA who provide services to private school children meet the state licensure and certification requirements (if applicable): - Copies of certificates (degrees) - Evidence of reported training - Copy of written agreement 4. Documentation of an evaluation for all programs serving private school students and that modifications are made, as necessary: - Monitoring process, observations, and providers' evaluation - Monthly providers' reports, and copies of meeting minutes 5. Policies and procedures to ensure the maintenance of record for third party contract(s) and invoices from the third party contractor: - Copies of contracts for each service provider on file - Copies of invoices representing each contractor		

PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence	Evidence	Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
3.2 CONTINUED	CONTINUED	CONTINUED	CONTINUED	<p>6. Documentation that the LEA regularly supervises the provision of Title II services to private school children:</p> <ul style="list-style-type: none"> - Description of monitoring process - Copies of observations through on-site visits - Copies of providers' evaluations - Copies of monthly providers' reports, and meeting minutes <p>7. LEA maintains control of the Title II funds, materials, equipment and property that support services to private school children:</p> <ul style="list-style-type: none"> - Inventory check list - Title Program Equipment Assessment Form - Allocations documentation - Record for tracking expenditures through reimbursement process (e.g., workbook submissions) - Sample letters, invoices, and individual tracking <p>8. If applicable, policies and procedures to ensure Title II funded materials and equipment located at the private school are properly labeled:</p> <ul style="list-style-type: none"> - List of equipment with tags, labels, inventory check list, and location 		

PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
3.2 CONTINUED	CONTINUED	CONTINUED	CONTINUED	9. Evidence of awareness of SEA-complaint procedures for private school officials: <ul style="list-style-type: none"> - SEA- complaint procedures stated in DCPS LEA's Equitable Services Handbook - Documentation that procedures are disseminated yearly at the citywide consultation 10. Evidence that Title II, Part A services, materials, and equipment are secular, neutral, and non-ideological instruction 11. Nonpublic school components of Title II, Part A are administered by, and under the control of the LEA: <ul style="list-style-type: none"> - Meetings with private school officials (e.g., agenda, sign-in sheets) - LEA personnel records show hiring of personnel for the nonpublic school Title II program - Documentation of payments for contract or services - Documentation of regular visits by the LEA 		
3.2 CONTINUED	CONTINUED	CONTINUED	CONTINUED	12. Evidence that expenditures for educational services and other benefits provided under this section for eligible private school children, their teachers, and other educational personnel serving those children shall be equal, taking into account the number and educational needs of the children to be served, to the expenditures for participating public school children. Such evidence must include		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.1-F-TitleII	Evidence that the LEA demonstrated that the level of State and local funding remains constant from year to year (Maintenance of Effort reporting requirement) (DCPS only).	ESEA §§1120(A) and 9521	- On file at OSSE			
1.2-F-TitleII	The LEA met the Supplement-Not-Supplant Requirement	ESEA §2123(b)	- On file at OSSE			
1.3-F-TitleII	The LEA provided evidence that the obligations for the current grant period were not incurred prior to the grant award date.	34 CFR §76.708	- On file at OSSE			
1.4-F-TitleII	If applicable to the LEA and if requested, the LEA can provide evidence showing previous audit findings have been addressed.	2 CFR §200.501	- On file at OSSE			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks	
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. Identification, Placement and Program Exit: LEAs must identify and place ELLs in appropriate programs.						
1.1	The LEA communicates with parents regarding their child's participation in the language instruction program in an understandable and uniform format and in the parents' primary language.	ESEA §3302 (a-d)	-A description of LEA's communication initiatives as related to EL programming -Samples of parent notification letters (returned to sender) -Communications such as emails, forms or phone logs			
Indicator 2. Appropriate Programs: LEAs must implement high-quality language instruction educational programs for English learners and evaluate their effectiveness.						
2.1	The LEA has in place a comprehensive written ELL plan of services.	ESEA §§3116 and 3301(8)	-A description of the EL program that includes a description of the types of services provided -A description of how the EL program is differentiated to accommodate the progress of students in academic proficiency -Rationale or data that informed decisions regarding EL program design			
2.2	The LEA implements the program/project in accordance with the LEA's approved application.	ESEA §3116	-Documentation that aligns with activities outlined approved application			
2.3	The programs and activities are evaluated to determine effectiveness.	ESEA §3121(b)	-Needs assessment -Minutes from data retreats/meetings -Written evaluation -Evidence of necessary adjustments being made to the program			
2.4	Elementary and/or secondary school language instruction educational programs for English learners are coordinated with other relevant programs and services.	ESEA §3115(d)(4)	-Examples of collaboration with other grants such as Title I, Part A; Title I, Part C; Title II, Part A; Title II, Part D; Title IV, Title V, 21st Century, IDEA and/or Title III Immigrant Children and Youth Grants			
2.5	If applicable, the LEA has implemented specific programs for immigrant children and youth.	ESEA §3115(e)	-Title III Immigrant Children and Youth work plan			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks	
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 3. Appropriate Staff and Professional Development						
3.1	The LEA assures that all teachers in any language instruction program for ELLs are fluent in English and in any other language used for instruction, including having written and oral communication skills.	ESEA §3116(c)	-Teacher licensure files folders			
3.2	The LEA assures that instructional paraprofessionals work under the supervision of a certified or licensed teacher, including individuals employed in the language instruction program.	ESEA §3301(12)	-Paraprofessionals job descriptions -Schedules of paraprofessionals and teachers			
3.3	The LEA provided professional development that is aligned with § 3115(c)(2).	ESEA §3115(c)(2)	-A description of professional development initiatives focused on teaching EL students for instructional and non-instructional staff -Needs assessment results -Agendas from trainings -Sign-in sheets for trainings			
Indicator 4. Parent Involvement: LEAs must involve parents and community in the planning, development and implementation of the language instruction education program.						
4.1	The LEA has implemented an effective means of outreach to inform parents of English learners of how they can be involved in the education of their children and be active participants in assisting their children learn.	ESEA §3302(e)(1)	-A written parent involvement policy -A description of the LEA's parent involvement initiatives as related to English learners -Meeting/training schedules -Process for communicating to parents on how they access the district EL program -An example of information disseminated to all the stakeholders including district and building staff, parents, students and community members			
4.2	The LEA holds regular meetings and sends parents of ELLs notices of such meetings for the purpose of formulating and responding to recommendations from parents.	ESEA §3302(e)(2)	-Copies of notices sent to parents asking for parents' input and responding to it			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
4.3	The LEA promotes parental and community participation in the planning, development, and implementation of the parent involvement program and programs for English learners.	ESEA §3116(b)(4)-(5)	-Meeting minutes -Agendas			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks	
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 5. English Language Development (ELD) Standards						
5.1	The LEA implements the State ELD standards.	ESEA §3113	-Evidence of professional development on ELD standards -Copies of lesson plans			
Indicator 6. Assessments: LEAs must adhere to state and federal assessment requirements.						
6.1	The LEA ensures that all English learners are annually assessed on the level of English proficiency and the assessment is in accordance with state and federal requirements.	ESEA §3116(d)(2)	-Description of the testing program and procedures -Description of progress data and how the progress data informs programming decisions -Description of how accommodations are being used -Evidence that all English learners participate in statewide and district assessments -Assessment policy and procedures			
6.2	The LEA complies with OSSE's ELP assessment administration procedures.	ESEA §§3113 and 3116	-Evidence of a process for providing technical assistance to schools on how to administer English language proficiency assessments and statewide assessments with accommodations			
6.3	Evidence of reporting of number of LEP students tested on ELP assessments to OSSE and method of reporting assessment results to OSSE.	ESEA §§3113 and 3116	-Documentation of data collection procedures			
6.4	Policies and procedures related to ensuring the privacy of individual student data collection, which adhere to state and federal requirements, are in place.	34 CFR Part 99 20 U.S.C. 1232(g)	-Evidence that no questions were asked on the enrollment documents that might reveal the immigration status of students			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 7. Non-Public School Participation in Language Instruction Education Program: The LEA must include non-public school participation in language instruction education programs. (DCPS Only)						
7.1	The LEA has consulted with non-public schools to identify English learners that are located in the geographic area served by the LEA.	ESEA §9501(a)	-A description of the consultation process -A timeline of district-initiated consultation with non-public schools -Copies of meeting agendas -Letters of intent to participate, if applicable -Affirmation of consultation with non-public school officials including student selection criteria			
7.2	The LEA has consulted with appropriate non-public school officials during the design and development of the Title III program.	ESEA §9501(a)	1. Evidence of process for providing technical assistance to nonpublic schools on how to: - Identify English learners - Size and scope of services - Administer English language proficiency assessments and statewide assessments with accommodations 2. Written agreements with non-public schools regarding providing equitable services to eligible students 3. Description of the consultation process 4. Evidence of assessment of non-public students and evaluation of effectiveness of services 5. Documentation of how non-public students are identified 6. Documentation of how teachers' needs were identified			
7.3	The LEA ensures equitable participation by non-public students in a Title III program.	ESEA §9501(a)	-Program description -Sample schedules of nonpublic students			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
7.4	Evidence that the LEA complies with requirements of equitable services to nonpublic schools including but not limited to timely implementation, consultation, evaluation and program monitoring.	ESEA §§9501		<p>1. LEA has policies and procedures for collecting signed and written affirmation from either private school officials or representatives</p> <ul style="list-style-type: none"> - Signed affirmations of consultation <p>2. Documentation that all teachers and/or paraprofessionals employed by the LEA who provide services to private school children meet the state licensure and certification requirements (if applicable):</p> <ul style="list-style-type: none"> - Copies of certificates (degrees) - Evidence of reported training - Copy of written agreement <p>3. Documentation of an evaluation for all programs serving private school students and that modifications are made, as necessary:</p> <ul style="list-style-type: none"> - Monitoring process, observations, and providers' evaluation - Monthly providers' reports, and copies of meeting minutes <p>4. Policies and procedures to ensure the maintenance of record for third party contract(s) and invoices from the third party contractor:</p> <ul style="list-style-type: none"> - Copies of contracts for each service provider on file - Copies of invoices representing each contractor 		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
7.4 CONTINUED	CONTINUED	CONTINUED	CONTINUED	5. Documentation that the LEA regularly supervises the provision of Title III services to private school children: <ul style="list-style-type: none"> - Description of monitoring process - Copies of observations through on-site visits - Copies of providers' evaluations - Copies of monthly providers' reports, and meeting minutes 6. LEA maintains control of the Title III funds, materials, equipment and property that support services to private school children: <ul style="list-style-type: none"> - Inventory check list - Title Program Equipment Assessment Form - Allocations documentation - Record for tracking expenditures through reimbursement process (e.g., workbook submissions) - Sample letters, invoices, and individual tracking 7. If applicable, policies and procedures to ensure Title III funded materials and equipment located at the private school are properly labeled: <ul style="list-style-type: none"> - List of equipment with tags, labels, inventory check list, and location 		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks	
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
7.4 CONTINUED	CONTINUED	CONTINUED	CONTINUED	<p>8. Evidence of awareness of SEA-complaint procedures for private school officials:</p> <ul style="list-style-type: none"> - SEA- complaint procedures stated in DCPS LEA’s Equitable Services Handbook - Documentation that procedures are disseminated yearly at the citywide consultation <p>9. Evidence that services, materials, and equipment are used for secular, neutral, and non-ideological instruction only with Title I served students</p> <p>10. Nonpublic school components of Title III are administered by, and under the control of the LEA:</p> <ul style="list-style-type: none"> - Meetings with private school officials (e.g., agenda, sign-in sheets) - LEA personnel records show hiring of personnel for the nonpublic school Title III program - Documentation of payments for contract or services - Documentation of regular visits by the LEA 		
7.4 CONTINUED	CONTINUED	CONTINUED	CONTINUED	<p>11. Evidence that expenditures for educational services and other benefits provided under this section for eligible private school children, their teachers, and other educational personnel serving those children shall be equal, taking into account the number and educational needs of the children to be served, to the expenditures for participating public school children. Such evidence must include</p> <ul style="list-style-type: none"> - Narrative description of formula used to determine amount of reserve - Evidence of the methodology used for the equitable services calculation - Program staff are readily able to describe compliant methodology 		
8. Data Collection Systems						
8.1	If applicable, for Title III Immigrant Children and Youth programs, the LEA has a data collection system to ensure that the immigrant student count submitted to OSSE includes only eligible immigrant students.	ESEA §3114(d)	Documentation of data collection procedures			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. District Allocation						
1.1	The LEA has reserved not more than two percent of its allocation for the administration of the Title III program, which includes both direct and indirect costs.	ESEA §3115(b)	-On file at OSSE	-Budgets, expenditure examples.		
1.2	The LEA uses funds only for required and authorized activities.	ESEA §3115(c)-(d)	-Samples of grant expenditures and supporting documentations such as invoices, receipts, contracts.			
Indicator 2. Maintenance of Effort						
2.1	The LEA complies with the maintenance of effort fiscal requirement.	ESEA §9521	-On file at OSSE	-On file at OSSE		
Indicator 3: Supplement Not Supplant						
3.1	The LEA complies with the supplement, not supplant requirement (i.e., Title III funds must supplement and not supplant federal, state and local public funds in that Title III funds may not be used to provide services that it provided in the prior year with state, local or other federal funds (unless presumption can be rebutted) and may not be used to provide services that it is required to make available under state, local laws or other federal laws.	ESEA §3115(g)	-Examples of grant expenditures, invoices, budgets demonstrating use of state, local and other federal funds.	N/A		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Activity	Program Agreement Activity	Citation	Evidence		Determination	Remarks
Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Project Goal 1: Improved Student Academic Outcomes in Math and ELA as assessed by the 2015 DC CAS						
Objective 1.0: 1) Institute tiered interventions that are based on data that offer specific strand intervention.						
2) Increase staff knowledge of best practice in offering intervention support to at-risk, SPED and ELL students.						
3) Equip staff and interventionist with technology that is adaptive to learner needs and can be used 24 hours a day, 7 days a week.						
Reporting Period 1: February 21st -August 20th						
1.1	Hire new staff.	2 CFR §200.328				
1.2	Purchase materials and software.	2 CFR §200.328				
1.3	Train teachers on new software.	2 CFR §200.328				
Reporting Period 2: August 21st -February 20th						
1.4	Increase mathematic student outcomes on A-Net Interim 3 by 10% (2/15).	2 CFR §200.328				
1.5	Improvement of students with Special Needs achievement scores by 5% as measured by A-Net 3 (2/15).	2 CFR §200.328				
1.6	Improvement of targeted student achievement scores by 15% as measured by A-Net 3 (2/15).	2 CFR §200.328				
Reporting Period 3: February 21st -August 20th						
1.8	Score at least 65% proficiency for each grade level in mathematics as measured by DCCAS.	2 CFR §200.328				
1.9	Score at least 35% proficiency for SPED students for each grade level as measured by	2 CFR §200.328				
1.10	Score at least an increase of 15% proficiency for each targeted student grade level as measured by DC CAS.	2 CFR §200.328				
Reporting Period 4: August 21st -February 20th						
1.11	Sustain mathematics growth for student proficiency in all classrooms at 70% as measured by interim assessments.	2 CFR §200.328				
1.12	Sustain growth for student proficiency for SPED students in all classrooms at 50% as measured by interim assessments.	2 CFR §200.328				
Project Goal 2: Develop Teacher Quality through structured professional development and hiring practices.						
Objective 2.0:1) Train teachers in Common Core strategies and ELL/SPED best practices						
Reporting Period 1: February 21st -August 20th						
2.1	Hire new staff.	2 CFR §200.328				

PROGRAM MANAGEMENT AND ADMINISTRATION						
Activity	Program Agreement Activity	Citation	Evidence		Determination	Remarks
Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.2	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				
Reporting Period 2: August 21st -February 20th						
2.3	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				
Reporting Period 3: February 21st -August 20th						
2.4	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				
2.5	Improvement of students with Special Needs achievement scores by 5% as measured by A-Net 3 (2/15).	2 CFR §200.328				
2.6	Improvement of targeted student achievement scores by 15% as measured by A-Net 3 (2/15).	2 CFR §200.328				
2.7	Score at least an increase of 15% proficiency for each targeted student grade level as measured by DCCAS.	2 CFR §200.328				
2.8	Score at least 35% proficiency for SPED students in each grade level as measured by DCCAS.	2 CFR §200.328				
Reporting Period 4: August 21st -February 20th						
2.9	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. Charter School Status, Program, and Application Fidelity						
1.1	DEFINITION OF CHARTER SCHOOL: The CSP sub-grantee meets the Federal term "charter school."	ESEA §5210 (1)				
1.2	FIDELITY TO EDUCATIONAL PROGRAM: The implementation of the subgrantee's educational program reflects what was described in its approved application.	2 CFR §200.328				
1.3	FIDELITY TO MANAGEMENT PLAN: The implementation of the subgrantee's management plan reflects what was described in its approved application.	2 CFR §200.328				
1.4	INFORMATION AND EQUAL ACCESS TO ATTEND: The subgrantee informs students in the community about the charter school and gives them an equal opportunity to attend.	ESEA §5203 (b)(3)(I)				
1.5	PARENT AND COMMUNITY INVOLVEMENT: The subgrantee involves parents and other members of the community in the planning, design, and implementation of the school.	ESEA §5203 (b)(3)(E.)				
1.6	DISSEMINATION ACTIVITIES: subgrantee is carrying out the proposed dissemination activities described in the approved application and are in compliance with activities described in ESEA Section 5204 (f)(6)(B).	ESEA §5204 (f)(6)(B)				
1.7	PLANNING AND IMPLEMENTATION ACTIVITIES: subgrantee is carrying out the proposed planning and implementation activities described in the approved application and are in compliance with activities described in ESEA Section 5204 (f) (3).	ESEA §5204(f)(3)				
Indicator 2. Subgrantee Quality and Performance Assessment						
2.1	DIRECT ADMINISTRATION: The subgrantee directly supervises the administration of the grant.	34 CFR §76.701				
PROGRAM MANAGEMENT AND ADMINISTRATION						
Activity	Program Agreement Activity	Citation			Determination	Remarks
Project Goal 1: Achievement Prep will maintain a rigorous and aligned curriculum across the local education agency that will ensure scholar achievement.						
Objective 1.0: Ensure a seamless common core transition from DC CAS to PARCC with the result that scholars are achieving at high levels in all contents, including reading. Additionally, instruction is aligned to Common Core and high quality.						
Reporting Period 1: February 21st -August 20th						
1.1	Hire Chief Academic Officer	2 CFR §200.328				

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.2	Review scholar performance to date on reading assessments to identify trends and gaps (Summer 2014)	2 CFR §200.328				
1.3	Implement interim assessments to monitor progress (4 times per year; 1 per quarter)	2 CFR §200.328				
Reporting Period 2: August 21st -February 20th						
1.4	Attend training on common core and PARCC (Fall 2014)	2 CFR §200.328				
1.5	Implement interim assessments to monitor progress (4 times per year; 1 per quarter)	2 CFR §200.328				
1.6	Regularly convene invested parties to review current curricula and academic model (July-November)	2 CFR §200.328				
1.7	Evaluate effectiveness of teaching model, especially in reading, based on scholar performance (August 2014)	2 CFR §200.328				
Reporting Period 3: February 21st -August 20th						
1.8	Implement interim assessments to monitor progress (4 times per year; 1 per quarter)	2 CFR §200.328				
Reporting Period 4: August 21st -February 20th						
1.9	Implement interim assessments to monitor progress (4 times per year; 1/per quarter)	2 CFR §200.328				
1.10	Regularly convene invested parties to review current curricula and academic model (July-November)	2 CFR §200.328				
Project Goal 2: To offer more quality seats and meet a demonstrated market need in Ward 8.						
Objective 2.0: Increase quality seat offerings in current campuses. Conduct a needs assessment to identify greatest areas of need for future campuses. Ensure quality is standardized and implemented at each level. Open additional campuses to meet the identified service gap in Ward 8.						
Reporting Period 1: February 21st -August 20th						
2.1	Hire Director of Strategy	2 CFR §200.328				
2.2	Refine enrollment benchmarks for current campuses (current to July)	2 CFR §200.328				
2.3	Engage in student recruitment and outreach	2 CFR §200.328				
Reporting Period 2: August 21st -February 20th						
2.4	Conduct needs assessment of Ward 8 (November)	2 CFR §200.328				
2.5	Strategic plan refined and finalized	2 CFR §200.328				
Reporting Period 3: February 21st -August 20th						
2.6	Work with CMO leadership to codify model (May - Sept)	2 CFR §200.328				
2.7	Open additional campus to offer quality seats (August 2015)	2 CFR §200.328				
2.8	Needs assessment completed	2 CFR §200.328				
Reporting Period 4: August 21st -February 20th						
2.9	Increased enrollment benchmarks met at existing campuses	2 CFR §200.328				
2.10	Additional high quality seats offered with opening of new campus	2 CFR §200.328				

PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. General Compliance: The LEA ensures that the SIG intervention models are in compliance with the final requirements of the SIG program.						
1. General (Compliance)						
1.1	The LEA appropriately recruited, screened, and selected external partners.	SIG Guidance: H-19a. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A.4, Strongest Commitment (a)(4).		-If applicable, documentation such as: 1. Announcement of the Request for Proposals (RFP); 2. RFP documents; and 3. Sample score sheets from vendor review process.		
1.2	The LEA modified its practices or policies to implement interventions effectively.	SIG Guidance: H-4(5). Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 4, Strongest Commitment (a)(6).		-Documentation such as: 1. Written policies/procedures demonstrating modified practices; and 2. Written notices to staff with updates on policies/procedures.		
1.3	The LEA has a plan for sustaining the reforms after the funding period ends.	SIG Guidance: H-4(5), I-2(12). Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 4, Strongest Commitment (a)(12).		-Documentation such as: projected budget providing for the continuation of SIG programming after the funding period ends		
1.4	The LEA can provide evidence that district-level activities conducted with SIG funds are specifically supporting SIG schools.	2 CFR §200.328	-Expenditure Sample Supporting Documentation	N/A		
Indicator 2. Implementation: The LEA ensures that the SIG intervention models are being implemented consistent with the final requirements of the SIG program.						
2.1 Intervention Model Specifics (Indicators for Turnaround Model only)						
2.1.1	The LEA used locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students (regarding the selection of new staff).	SIG Guidance: B-1(2), B-3, B-4. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(1)(B).		-Documentation such as interview protocol for staff selection		
2.1.2	LEA implemented such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that were designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school.	SIG Guidance: B-1(3), B-5. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(1)(C).		-Documentation of implementation of such strategies such as: 1. Notices to teachers regarding examples of activities mentioned in indicator 2.1.2 2. Examples of teacher participation in those activities about which teachers were notified - see above		
2.1.3	The LEA provided staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies.	SIG Guidance: B-1(4), B-6. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(1)(D).		-Documentation of PD such as: 1. Sign-in sheets, with dates, title of PD, etc. 2. PowerPoint presentations used during PD 3. PD Agendas		

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.1.4	The LEA adopted a new governance structure, which includes, but is not limited to, requiring the school to report to a new "turnaround office" in the LEA, hiring a "turnaround leader" who reports directly to the Superintendent or Chief Academic Officer, or entered into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability.	SIG Guidance: B-1(5). Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(1)(E).	-Documentation of described governance structure such as: organizational chart demonstrating "turnaround office" or "turnaround leader"			
2.1.5	The LEA used/uses data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.	SIG Guidance: B-1(6), B-7. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(1)(F).	-Documentation of data use such as: sample of a data report used to inform the implementation of the instructional program			
2.1.6	The LEA promoted/promotes the continuous use of student data (such as formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.	SIG Guidance: B-1(7). Federal Register : Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(1)(G).		-Documentation such as a sample of a student data report that was used to differentiate instruction (redacted).		
2.1.7	The LEA established schedules and implemented strategies that provided increased learning time (as defined in the final requirements).	SIG Guidance: A-31, A-31a, A-32, A-32a, A-32b, A-32c, A-32d, B-1(8). Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(1)(H).	-Documentation of increased learning time such as a school calendar/schedule demonstrating increased learning time			
2.1.8	The LEA provided/provides appropriate social-emotional and community-oriented services and supports for students.	SIG Guidance: B-1(9), B-8. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants, A. 2, Strongest Commitment (a)(1)(I).	-Documentation of community outreach and social-emotional support to students such as: 1. Flyers/notices to parents/students of meetings, events, etc. 2. Sign-in sheets from parent meetings/community events 3. Agendas for parent/community meetings 4. Meeting minutes from parent/community meetings			

PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks	
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.2 Intervention Model Specifics (Indicators for Transformation Model only)						
2.2.1	The LEA developed and increased teacher and school leader effectiveness.	SIG Guidance: E-2, E-5. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(2)(A), (a)(1)(D).	-Documentation of PD such as: 1. Sign -in sheets, with dates, title of PD, etc. 2. PowerPoint presentations used during PD 3. PD Agendas			
2.2.2	The LEA implemented comprehensive instructional reform strategies.	SIG Guidance: E-7, E-8. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(2)(A), (a)(1)(F).	-Documentation of instructional reform strategies such as: 1. Strategic plan as it relates to instructional reform strategies 2. Meeting minutes that address the implementation of the reform strategies 3. Presentations regarding the implementation of reform strategies			
2.2.3	The LEA increased learning time and created community-oriented schools.	SIG Guidance: A-31, A-31a, A-32, A-32a, A-32b, A-32c, A-32d, E-9, E-10, E-10a, E-11. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(2)(A), (a)(1)(H).	-Documentation of community outreach such as: 1. Flyers/notices to parents/students of meetings, events, etc. 2. Sign-in sheets, agendas, meeting minutes from parent meetings/community events Documentation of increased learning time such as: school calendar/schedule demonstrating increased learning time			
2.2.4	The LEA provided operational flexibility and sustained support.	SIG Guidance: E-13, E-14, E-15. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(2)(A), (a)(1)(A).	-Documentation of LEA sustained support such as: 1. Calendar of meetings between LEA and school-site 2. Meeting notes, agendas, and sign-in sheets from meetings between LEA and school-site Documentation of LEA providing school specific operational flexibilities such as evidence demonstrating: 1. Allowing the school to be run under a new governance structure 2. Allowing the school to implement a variation of the standard school-based budget 3. Ensuring that the school received ongoing TA from the LEA			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.2.5	LEA implemented such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that were designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the school.	SIG Guidance: E-1, E-2(4). Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(2)(A), (a)(1)(C).	-Documentation of implementation of such strategies such as: 1. Notices to teachers regarding examples of actions mentioned in indicator 2.2.5 2. Examples of teacher participation in those activities about which teachers were notified - see above			
2.2.6	The LEA uses data to identify and implement an instructional program in a manner that is aligned to SIG requirements.	SIG Guidance: E-1, E-16. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(2)(A), (a)(1)(F).	-Documentation of data use such as: sample of a data report used to inform instructional program			
2.2.7	The LEA promotes the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the educational and developmental needs of individual students.	SIG Guidance: E-1, B-1(7) Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(2)(A), (a)(1)(G).		-Documentation such as: sample of student data report that was used to differentiate instruction (redacted)		
2.2.8	The LEA provides staff ongoing, high-quality, job-embedded professional development such as coaching and mentoring that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to implement successfully school reform strategies.	SIG Guidance: E-7(3). Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(2)(A), (a)(1)(D).	Documentation of PD such as: 1. Sign -in sheets, with dates, title of PD, etc. 2. PowerPoint presentations used during PD 3. PD Agendas			
2.3 Intervention Model Specifics (Indicators for Evidence-Based Whole School Reform only)						
2.3.1	The LEA ensured that the chosen intervention model improves student academic achievement or attainment	SIG Guidance: L-1(1). Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 3, Definitions, Whole-school reform model (a).	-Documentation such as: 1. Reports demonstrating student achievement or attainment before and after the implementation of the chosen intervention model 2. Reports from coordinator of chosen intervention model detailing student academic achievement or attainment			
2.3.2	The LEA ensured that the chosen model would be implemented for all students in a school	SIG Guidance: L-1(2). Federal Register: Section I. 3. Definitions, SEA Priorities in Awarding School Improvement Grants A. 3, Definitions, Whole-school reform model (b).	-Documentation such as: school schedule demonstrating implementation of program for all students			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.3.3	The LEA ensured that the intervention model addresses school leadership in a comprehensive and coordinated manner	SIG Guidance: L-1(3). Federal Register: Section I. 3. Definitions, SEA Priorities in Awarding School Improvement Grants A. 3, Definitions, Whole-school reform model (c)(1).	-Documentation of school leadership engagement from the LEA such as: 1. Agendas/minutes for meetings between LEA and school leadership 2. Sign-in sheets for meetings between LEA and school leadership 3. Schedule/calendar of meetings held between LEA and school leadership			
2.3.4	The LEA ensured that the intervention model addresses teaching and learning in at least one full academic content area in a comprehensive and coordinated manner	SIG Guidance: L-1(3). Federal Register: Section I. 3. Definitions, SEA Priorities in Awarding School Improvement Grants A. 3, Definitions, Whole-school reform model (c)(2).	-Documentation of PD such as: 1. Sign-in sheets, with dates, title of PD, etc. 2. PowerPoint presentations used during PD 3. PD Agendas			
2.3.5	The LEA ensured that the intervention model addresses student non-academic support in a comprehensive and coordinated manner	SIG Guidance: L-1(3). Federal Register: Section I. 3. Definitions, SEA Priorities in Awarding School Improvement Grants A. 3, Definitions, Whole-school reform model (c)(3).	-Documentation of PD such as: 1. Sign-in sheets, with dates, title of PD, etc. 2. PowerPoint presentations used during PD 3. PD Agendas			
2.3.6	The LEA ensured that the intervention model addresses family and community engagement in a comprehensive and coordinated manner	SIG Guidance: L-1(3). Federal Register: Section I. 3. Definitions, SEA Priorities in Awarding School Improvement Grants A. 3, Definitions, Whole-school reform model (c)(4).	-Documentation of family and community outreach such as: 1. Flyers/notices to families/students, community members of meetings, events, etc. 2. Sign-in sheets from family meetings/community events 3. Agendas for family/community meetings 4. Meeting minutes from family/community meetings			
2.3.7	The LEA implemented the chosen model in partnership with a model developer	SIG Guidance: L-4. Federal Register: Section I. 3. Definitions, SEA Priorities in Awarding School Improvement Grants A. 3, Definitions, Whole-school reform model developer (a), (b).	-Documentation of contractual partnership with model developer such as: contract with model developer detailing the roles and responsibilities of each party			
Indicator 3. Technical Assistance: The LEA ensures that technical assistance is provided to its LEAs consistent with the final requirements of the SIG program.						
3.1	If applicable, LEA is providing support to schools regarding SIG implementation.	SIG Guidance: H-4(10), E-13(2). Federal Register: Section II. Awarding School Improvement Grants to LEAs A. LEA Requirements, 2(c).	-Documentation of LEA/school engagement such as: 1. Agendas/minutes for meetings between LEA and school staff 2. Sign-in sheets for meetings between LEA and school staff 3. Schedule/calendar of meetings held between LEA and school staff			

PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 4. Monitoring: The LEA ensures that monitoring of LEAs and schools is being conducted consistent with the final requirements of the SIG program.						
4.1	The LEA has ensured that each SIG school is fully implementing the selected intervention model.	SIG Guidance: H-24, H-25. Federal Register: Section II. Awarding School Improvement Grants to LEAs A. LEA Requirements, 8(a).	-Documentation of LEA monitoring of schools such as: 1. Walk-through reports 2. Observation reports 3. Agendas/minutes/sign-in sheets for meetings between LEA/school staff			
Indicator 5. Data Collection: The SEA ensures that data is being collected consistent with the final requirements of the SIG program (If applicable)						
5.1	LEA has a data collection and management process.	SIG Guidance: E-7(1), E-7(2), J-16. Federal Register: Section II. Awarding School Improvement Grants to LEAs A. LEA Requirements, 8(a).	-Documentation of data collection and management process such as: sample of a data report used to measure progress toward the goal(s) for a leading indicator(s)			
5.2	LEA is collecting benchmark, formative or interim data on leading indicators.	SIG Guidance: B-1(7), E-7(2), H-24, H-27. Federal Register: Section II. Awarding School Improvement Grants to LEAs A. LEA Requirements, 8(a).	-Documentation such as: sample of a data report that includes benchmark, formative, and interim data on a leading indicator(s)			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: School Improvement (SIG) Specific Fiscal Requirements						
1.2-F-SIG	If applicable to the LEA and if requested, the entity can provide evidence showing previous audit findings have been addressed.	2 CFR §200.501	-On file at OSSE			

PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<p>Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.</p>			<p>Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.</p>	<p>On-Site Documents: These documents must be made available to OSSE during the monitoring visit.</p>		
<p>Indicator 1: (Priority Schools only) Priority School implemented its chosen strategy</p>						
1.1	<p>LEA ensured that the Priority school implemented its chosen strategy as described in its approved application.</p>	<p>Title I - Improving the Academic Achievement of the Disadvantaged SEC.1003. SCHOOL IMPROVEMENT (c) PRIORITY - The State educational agency, in allocating funds to local educational agencies under this section, shall give priority to local educational agencies that -- (1) serve the lowest-achieving schools; (2) demonstrate the greatest need for such funds; and (3) demonstrate the strongest commitment to ensuring that such funds are used to enable the lowest-achieving schools to meet the progress goals in school improvement plans under section 1116(b)(3)(A)(v).</p>				
1.2	<p>The Priority school's strategy aligns with its school improvement plan and/or LSN Action Plan.</p>	<p>See above</p>				
1.3	<p>The LEA tracked the Priority school's progress of implementing each chosen strategy.</p>	<p>See above</p>				
1.4	<p>The Priority school created a school improvement plan which addresses the reason its in this classification.</p>	<p>See above</p>				

Indicator 2: (Focus Schools only) Focus School implemented its chosen strategy						
2.1	LEA ensured that the Focus school implemented its chosen strategy as described in its approved application.	See above				
2.2	The Focus school's strategy aligns with its School Improvement Plan and/or LSN Action Plan.	See above				
2.3	The LEA tracked the Focus school's progress of implementing each chosen strategy.	See above				
2.5	The LEA reviewed school performance trends. DELETE THIS QUESTION	See above				
2.7	The Focus school created a school improvement plan which addresses the reason its in this classification.	See above				

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PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.	
Indicator 1: The LEA is compliant with ESEA Title I Homeless program requirements.					
1.1	The LEA ensures that homeless students enrolled in non-Title I schools receive Title I services.	42 USC §11432(g)(4)	<ul style="list-style-type: none"> - Evidence that the LEA is tracking the activities funded by the required setaside (e.g. approval process for use of set aside funds, policy, distinct programmatic and or fiscal tracking system) - List of non-Title I schools with homeless students - A description of program services provided 		
Indicator 2: The LEA has implemented the McKinney-Vento requirements					
2.1	There is evidence that the LEA reviews and revises, as needed, policies, procedures, and/or practices that may act as barriers to the enrollment, retention, and success of homeless students.	42 USC §11432(g)(7)(A)	<ul style="list-style-type: none"> - Agenda, minutes, and sign-in sheets - Schedule/timeline of when policies were reviewed - Copy of the policies, procedures, and/or practices with proposed revisions from the meeting discussion(s) for the SY being monitored - Copy of the final version of new policies after revisions have been incorporated - Copy of handbook or other methods used to distribute policies to stakeholders 		
2.2	The LEA has a designated homeless liaison.	42 USC §11432(g)(1)(J)(ii)	<ul style="list-style-type: none"> - Organizational Chart - Homeless Liaison job description - Any homeless educational rights literature identifying the Homeless Liaison's contact information - Evidence that the LEA designates and allows for training of a liaison for homeless children and youth and that this person provides training to other relevant district personnel 		
2.3	The LEA has a procedure in place to identify homeless students.	42 USC §11432(g)(6)(A)(i)	<ul style="list-style-type: none"> - Process for identifying homeless students - Documentation of homeless student enrollment procedures - Registration/enrollment forms that show self-identification indicator - Other documents used to identify homeless students 		

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PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
			<p>Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.</p>	<p>On-Site Documents: These documents must be made available to OSSE during the monitoring visit.</p>	
2.4	The LEA maintains a list of students identified and reports as required by OSSE.	42 USC §§11432(e)(3)(F)(ii) and (g)(6)(A)(i)	<ul style="list-style-type: none"> - LEA's process for identifying homeless students - LEA's process utilizing MKV Confidential Referral Form and MKV QuickBase application - Other LEA-specific documentation used to identify homeless students 		
2.5	<p>There is evidence that:</p> <ul style="list-style-type: none"> a. The LEA has a procedure for communicating information regarding enrollment in public schools for homeless families. b. Schools are knowledgeable of the policies and procedures. 	42 USC §§11432(g)(3)(B)-(g)(3)(C)	<ul style="list-style-type: none"> - Parent involvement/outreach policy and planning documents (e.g., handbook or materials distributed to families that includes LEA's policies or procedures for communicating to homeless families) - Parent meeting/activity calendar, agenda, and sign-in/attendance sheets - Evidence of parent/community outreach (e.g., PowerPoint deck, flyer, and other handouts) - PD schedule that includes MKV training for staff (e.g., materials distributed during the training session, agenda, sign-in sheet) 		
2.6	There is evidence that LEA has adopted a written dispute resolution policy, which provides for the prompt resolution of disputes and procedures to ensure that students are enrolled in the school in which placement is sought and provided transportation during the dispute resolution process.	42 USC §11432(g)(1)(C)	<ul style="list-style-type: none"> - LEA's Dispute Resolution Policy (either created or adopted). Must include guidance and template of the forms to request an appeal completed by parent/guardian, youth, or advocate - Examples of written notification to parents and youth regarding placement decisions when they are different from what was requested Optional - Written procedure or narrative description of the LEA's procedure/process to ensure that the Homeless Liaison is involved in the process when making enrollment, school selection/placement, and eligibility decisions and communicating with families/youths, etc. 		

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PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.	
2.7	If a dispute arises over school selection or enrollment in a school, the LEA provides the parent or the guardian of a child or youth, a written explanation of the school's decision regarding school selection or enrollment, including the rights of the parent, guardian, or youth to appeal the decision.	42 USC §§11432(g)(3)(E)(ii)-(iii)	<ul style="list-style-type: none"> - Evidence that LEA implements a process for the prompt resolution of disputes, such as a phone log, notes, or e-mail messages. -Records indicating that enrollment disputes are investigated and resolved in a timely manner - Evidence that students are enrolled and provided transportation during the dispute resolution process - Sample of letter of explanation to communicate enrollment decisions (e.g., a form letter or redacted letter previously submitted) - The LEA's documentation to communicate to families about their Right to Appeal enrollment decisions (e.g., form letter, handout, flyer, handbook excerpt, etc.) - Written parent notifications (samples) of the determination 		
2.8	The LEA has adopted policies and practices to ensure that homeless students are not stigmatized or separated from the mainstream school environment.	42 USC §11432(g)(1)(J)(i)	- Evidence for indicator 2.1 will be used to determine compliance for this indicator.		
2.9	Procedures are in place to ensure students have access to services comparable to services provided to other students in the school; such as ESEA programs and programs for children with disabilities for which the homeless youth meets the eligibility criteria, programs in vocational and technical education, programs for gifted and talented students, and school nutrition programs.	42 USC §11432(g)(4)	<ul style="list-style-type: none"> - List of services and resources offered for homeless students. - Needs assessment to determine appropriate services for eligible students (e.g. process and assessment tools used to gather information) 		
2.10	There is evidence that the LEA ensures homeless preschool age children have equal access to the same public preschool programs for which the children are eligible (i.e. Head Start, Title I Preschool, Pre-K) as provided for non-homeless children.	42 USC §11432(g)(6)(A)(iii)	- Evidence for indicator 2.1 will be used to determine compliance for this indicator.		
2.11	The LEA coordinates with local social service agencies and other agencies or programs providing services to homeless children and their families (i.e., clothes, food, medical, dental, shelter).	42 USC §11432(g)(5)(A)(i)	<ul style="list-style-type: none"> - Materials from other agencies (flyers, handouts, etc.) - List of collaborative efforts with local agencies to provide events for homeless students at the LEA - Sample referral forms 		

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PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
			<p>Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.</p>	<p>On-Site Documents: These documents must be made available to OSSE during the monitoring visit.</p>	
2.12	The LEA has a procedure for assisting homeless, unaccompanied youth in placement and enrollment decision.	42 USC §11432(g)(3)(B)(iii)	- Procedure or written description for assisting unaccompanied youth with placement and enrollment decisions (ex: educational rights process, handbook excerpt, written guidance, etc. that is distributed to families)		
2.13	The LEA ensures that transportation to the school of origin is provided upon request and monitored by the LEA.	42 USC §§11432(e) and (g)(3)(a)	<p>- Evidence that the LEA ensures that transportation to the school of origin is provided upon request and monitored by the LEA including on site emergency resources</p> <p>- Transportation support documentation (ex: Excel spreadsheet tracking supports)</p> <p>- Procedure to determine need for transportation to/from the school is provided</p> <p>- Tracking/log of support distribution</p>		
2.14	The LEA has procedures for coordinating with other LEAs and inter-district educational agencies regarding the transfer of school records.	42 USC §11432(g)(5)(ii)	- Overview of the procedure(s) for coordinating with other LEAs and inter-district agencies to obtain or transfer school records (e.g., MOA, MOU, written policy or narrative)		
2.15	To ensure that homeless students are properly identified and provided services, the LEA provides specific in-service training and staff development for LEA and school personnel in meeting the needs of homeless students.	42 USC §§11432(g)(4) and (g)(6)(i)	<p>- Staff PD schedule inclusive of MKV training sessions</p> <p>- Materials distributed within the LEA to heighten awareness of the needs of homeless students (e.g. materials used to share information about homelessness, literature or website links shared with LEA and school staff, OSSE training and resources materials that were shared.)</p>		
2.16	The LEA program is based on an assessment of the educational and related needs of homeless children and youths in the area served by the LEA (which may be undertaken as part of needs assessments for other disadvantaged groups). (GRANT SUBRECIPIENTS ONLY)	42 USC §11433(b)(1)	- Evidence for indicator 2.9 will be used to determine compliance for this indicator.	N/A	

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PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
			<p>Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.</p>	<p>On-Site Documents: These documents must be made available to OSSE during the monitoring visit.</p>	
2.17	<p>The LEA evaluates the program/project in accordance with the LEA's approved application, as applicable. (GRANT SUBRECIPIENTS ONLY)</p>	42 USC §11432(e)(3)(F)(ii)	<ul style="list-style-type: none"> - The most recent copy of any evaluation reports of McKinney-Vento services or subgrantee project - Written documentation or summaries of homeless students' primary nighttime residence - Most recent reports of statewide assessment performance of homeless students enrolled in the LEA for the last fiscal or school year - If approved application has been amended based on newly identified need(s), process used to make the determination - If funds were carried over, the process used to make the determination 	<p>* Copy of the instrument(s) used to evaluate the program such as measures of continuous improvement/self-assessment</p>	
2.18	<p>Services provided under McKinney-Vento program expand or improve, but do not replace, services provided as part of a school's regular academic program. (GRANT SUBRECIPIENTS ONLY)</p>	42 USC §11433(a)(2)(A)(iii)	<ul style="list-style-type: none"> - Evidence reflecting how the program was improved or expanded to support homeless students - Evidence that the subgrantee expands or improves services provided as part of regular academic program (e.g. extended day fees, tracking tool, etc.) - A current list of all personnel (instructional and administrative staff) paid with McKinney-Vento subgrant funds 	N/A	
2.19	<p>There is evidence that the LEA is implementing the McKinney-Vento program as described in the approved application. (GRANT SUBRECIPIENTS ONLY)</p>	42 USC §11433(b)	<ul style="list-style-type: none"> - Evidence that the LEA is implementing required and authorized activities; for example, budget reports at the end of a fiscal year, records of expenditures, carryover and other summary reports - Documentation reflecting programming or educational supports provided to homeless students as identified in the LEA's application - If grant amendments were requested, provide an overview of the process used to determine the need to amend the original application and/or carry over funds. 	N/A	

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: McKinney-Vento Program- Specific Fiscal Requirements						
1.1-F-MKV	If applicable to the LEA and if requested, the entity can provide evidence showing previous audit findings and/or monitoring findings have been addressed.	2 CFR §200.501	- On file at OSSE	NA		
1.2-F-MKV	The amounts expended during the grant period align with the activities in the approved application.	34 CFR §80.20(b)(4)	- Expenditure Sample Supporting Documentation			
1.3-F-MKV	The LEA complies with the maintenance of effort (MOE) fiscal requirement. (If MKV is part of consolidated monitoring, reference Item 1.1-F-TitleI to determine compliance.)	ESEA §1120A(a), 9521	- On file at OSSE			

LEAs are required to use the following format when developing their proposed plan to address identified findings of noncompliance. The LEA is expected to submit its proposed plan within thirty days of receipt of this report. OSSE will respond to the plan within 30 days after receipt. OSSE's response will be captured in the column titled, "SEA Response to CAP". If all proposed activities are approved, OSSE will indicate this in its response and the LEA should begin implementation and will establish the frequency for CAP reporting. If OSSE is unable to approve the CAP as written, OSSE will provide feedback and offer to set up a technical assistance session.

CORRECTIVE ACTION PLAN TEMPLATE

FINDING/ RECOMMENDATION	PROPOSED LEA CORRECTIVE ACTION	TIMELINE	RESPONSIBLE OFFICE/PARTY	EVIDENCE OF IMPLEMENTATION	SEA RESPONSE TO CAP