

Office of the State Superintendent of Education  
Division of Systems and Supports, K-12



Monitoring Guidance for K-12 Federal Grants  
Fall 2018

## Table of Contents

Table of Contents .....	2
Monitoring Process Overview .....	3
Risk-Based Monitoring Model.....	13
Grant Guidelines Summary .....	14
Title I, Part A: Improving the Academic Achievement of the Disadvantaged.....	15
Title I, Part A: 1003, School Improvement Funds .....	18
Title I, Part A: 1003(g), School Improvement Grants (SIG) .....	21
Title I, Part D: Prevention and Intervention Programs for Children and Youth who are Neglected, Delinquent or At-Risk.....	23
Title II, Part A: Preparing, Training, and Recruiting High Quality Teachers, Principals and Other School Leaders.....	26
Title III, Part A: Language Instruction for Limited English Proficient and Immigrant Students ....	28
Title IV, Part B: 21st Century Community Learning Centers (21st CCLC) Grant.....	30
Title VII-B: McKinney-Vento Homeless Assistance Act .....	32
IDEA Part B: Section 611 & Section 619 Summary.....	35
Scholarships for Opportunity and Results (SOAR) Act .....	37
Appendix .....	39
Division of Systems and Supports, K-12 Annual Monitoring Cycle 2018-19.....	41
Sub-recipient Monitoring Policy.....	43
Consolidated Monitoring Tool and Corrective Action Plan Template .....	52

## **Monitoring Process Overview**

The Office of the State Superintendent of Education (OSSE) uses a risk-based monitoring process 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 2018-19 school year. Please note that for grants authorized under the Elementary and Secondary Education Act (ESEA), the 2018-19 monitoring cycle will review subrecipient compliance with the Every Student Succeeds Act (referred to herein as ESSA), which reauthorized the ESEA in December 2015.

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: 1003 School Improvement Funds
- ESEA, Title I: 1003(g) School Improvement Grants (SIG)
- ESEA, Title I, Part D: Prevention and Intervention Programs for Children and Youth who are Neglected, Delinquent or At-Risk
- ESEA, Title II, Part A: Preparing, Training, and Recruiting High Quality Teachers, Principals and Other School Leaders
- ESEA Title III, Part A: Language Instruction for Limited English Proficient and Immigrant Students
- ESEA Title IV, Part B: 21<sup>st</sup> Century Community Learning Centers
- ESEA, Title V, Part B: Charter Schools Program (will be monitored under the No Child Left Behind standard for the 2017-2018 school year)
- McKinney-Vento Homeless Education Assistance
- Individuals with Disabilities Education Act (IDEA), Part B
- Scholarships for Opportunity and Results (SOAR) Act, Academic Quality
- Scholarships for Opportunity and Results (SOAR) Act, Facilities

## I. COMPLIANCE MONITORING<sup>1</sup>

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. 45). This process includes record reviews, document reviews, and interviews which are intended to identify any 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, interviews of staff, family, and students as applicable, fiscal examination and follow-up, including technical assistance, if needed. The process is designed to identify any 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 to formulate specific, tailored actions to help subrecipients further accelerate outcomes.

On-site monitoring will follow a series of defined steps for the 2018-19 year:

- Identification for monitoring by OSSE
- Notification of monitoring selection by OSSE (at least four weeks 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 (within the timeframe identified in the CAP and no more than one year after the issuance of the finding)
- Verification of correction of noncompliance by OSSE
- Closure of findings of noncompliance by OSSE

---

<sup>1</sup> 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.

### **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 single audit required by 2 CFR 200, Subpart F and financial review results for entities that do not meet the \$750,000 single audit threshold
- Higher grant award totals
- Failure to timely draw down grant funds
- Findings as a result of any IDEA complaints filed against the subrecipient
- IDEA, Part B determination level (i.e., Met Requirements, Needs Assistance or Needs Intervention)
- Unresolved noncompliance from previous monitoring reviews
- Dates of most recent on-site monitoring visits
- Additional concerns raised by individual grant managers
  - Prior experience in administering federal grants
  - Untimely reporting: One late report/application
  - Untimely reporting: Two or more late reports/applications
  - GAN requirements not met/LEA on special conditions
  - Failure to submit required data (includes funding amendments)
  - Grant funds withheld or revoked

### **Step 2: Notification of On-Site Monitoring Selection**

Subrecipients will be notified by email 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 during the monitoring visit
- 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. If a subrecipient is unable to participate in the monitoring visit on the date selected by OSSE, then the subrecipient must submit a written request to [OSSE.Monitoring@dc.gov](mailto:OSSE.Monitoring@dc.gov) at 45 days prior to the scheduled monitoring visit.

### **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 planned activities during 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 or serves 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 tool 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 tool 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 tool 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 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 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. 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 corrective action plan (CAP) within 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 2018-19 year:

- Identification for monitoring by OSSE
- Notification of monitoring selection by OSSE (at least four weeks before the desktop review)
- 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 desktop review)
- Issuance of final monitoring report by OSSE (within 90 days of desktop review)
- Submission of Corrective Action Plan (CAP) by subrecipient, as applicable
- Correction of noncompliance by subrecipient (within the timeframe identified in the CAP and no more than one year after the issuance of the finding)
- Verification of correction of noncompliance by OSSE
- Closure of findings of noncompliance by OSSE

### **Step 1: Identification for Desktop 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 single audit required by 2 CFR 200, Subpart F and financial review results for entities that do not meet the \$750,000 single audit threshold
- Higher grant award totals
- Failure to timely drawdown grant funds
- Findings as a result of any IDEA complaints filed against the subrecipient
- IDEA, Part B determination level (i.e., Met Requirements, 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
- Prior experience in administering federal grants

- Untimely reporting: One late report/application
- Untimely reporting: Two or more late reports/applications
- GAN requirements not met/LEA on special conditions
- Failure to submit required data (includes funding amendments)
- Grant funds withheld or revoked

### **Step 2: Notification of Desktop Monitoring**

Subrecipients will be notified by email 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 3: 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 4: Monitoring Report Issued**

Within 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 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 10 days to review the report and share any additional information that may demonstrate compliance.
- *Final monitoring report*: Within 90 days of the desktop review, OSSE will release the final monitoring report summarizing the results of the desktop review. 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 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 the 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 may 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 subrecipients with two reports: 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, subrecipients 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.

## Risk-Based Monitoring Model

	Tier I Low Risk	Tier II Medium Risk	Tier III High Risk
<b>Selection Methodology</b>	Risk analysis in all applicable areas.		
<b>Risk Indicators</b>	<ul style="list-style-type: none"> <li>• Results from the single audit required by 2 CFR 200, Subpart F and financial review results for entities that do not meet the \$750,000 single audit threshold</li> <li>• Higher grant award totals</li> <li>• Failure to timely drawdown grant funds</li> <li>• Findings as a result of any IDEA complaints filed against the subrecipient</li> <li>• IDEA, Part B determination level (i.e., Met Requirements, Needs Assistance or Needs Intervention)</li> <li>• Unresolved noncompliance from previous monitoring reviews and audits</li> <li>• Dates of most recent on-site monitoring visits</li> <li>• Additional concerns raised by individual grant managers: prior experience in administering federal grants, untimely reporting, GAN requirements not met/LEA on special conditions, failure to submit required data (includes funding amendments), grant funds withheld or revoked</li> </ul>		
<b>Monitoring Experience</b>	<p><b>No Desktop or On-Site Monitoring</b> 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 monitoring model.</p>	<p><b>Desktop Monitoring</b> 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><b>On-Site Monitoring</b> 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>
<b>Pre-Site Conference Required</b>	<b>Not Applicable</b>	<b>May include a phone conference</b>	<b>Yes, either on-site or via phone conference</b>

## **Grant Guidelines Summary**

### **Overview**

OSSE uses 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: 1003 School Improvement Funds
- ESEA, Title I: 1003(g) School Improvement Grants (SIG)
- ESEA, Title I, Part D: Neglected, Delinquent, and At-Risk Youth
- ESEA, Title II, Part A: Preparing, Training, and Recruiting High Quality Teachers, Principals and Other School Leaders
- ESEA Title III, Part A: Language Instruction for Limited English Proficient and Immigrant Students
- ESEA Title IV, Part B: 21<sup>st</sup> Century Community Learning Centers
- McKinney-Vento Homeless Education Assistance
- Individuals with Disabilities Education Act (IDEA), Part B
- Scholarships for Opportunity and Results (SOAR) Act, Academic Quality
- Scholarships for Opportunity and Results (SOAR) Act, Facilities

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 updated its grant guidelines to reflect the requirements of the Every Student Succeeds Act (ESSA), which reauthorizes the ESEA.

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

<b>Grant Name</b>	Title I – Improving the Academic Achievement of the Disadvantaged
<b>Legal Citation</b>	<p>Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, §§ 1112 – 1119, 1127</p> <p>20 U.S.C. §§ 6312 - 6315, 6318, 6320 - 6322, 6339</p>
<b>Grant Type</b>	Formula
<b>Grant Purpose</b>	The purpose of this title is to provide all children significant opportunity to receive a fair, equitable, and high-quality education, and to close educational achievement gaps.
<b>OSSE Monitoring Requirement</b>	<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.</p>

<p><b>Annual Subrecipient Reporting Requirements</b></p>	<p><b>New or Significantly Expanding Public Charter School (NOSEPCS):</b> 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>. (34 CFR Part 76).</p> <p><b>Maintenance of Effort (MOE)</b> requires subrecipients to maintain a consistent floor of state and local funding for free public education from year to year. ESSA amended the District of Columbia School Reform Act of 1995 and eliminated the exemption for charter schools to meet ESEA MOE requirements. Now, all DC public charter LEAs must comply with MOE under ESEA. However, the deadline for charter LEAs has been extended. Per US Department of Education guidance, DC charter school LEAs will not need to submit ESEA MOE expenditure reports to OSSE until after FY18 and FY19 expenditures are complete.</p> <p><b>Supplement Not Supplant:</b> As provided in Section 1118 (b) (2) of the ESEA as amended by ESSA, in order for a subrecipient to demonstrate compliance with paragraph (1), a local educational agency shall demonstrate that the methodology used to allocate State and local funds to each school receiving assistance under this part ensures that such school receives all of the State and local funds it would otherwise receive if it were not receiving assistance under this part.</p> <p><b>Comparability Report (DCPS only):</b> Subrecipients must provide state and local resources in Title I schools that are comparable to the services provided in non-Title I schools.</p>
--	---



<p><b>Web-Based Resources on Grant Program</b></p>	<p>This U.S. Department of Education resource answers frequently asked questions regarding implementing Title I programming and requirements under ESSA, including guidance regarding ESEA flexibility and strategies to increase student achievement:  <a href="https://www2.ed.gov/policy/elsec/leg/essa/essafaqstransition62916.pdf">https://www2.ed.gov/policy/elsec/leg/essa/essafaqstransition62916.pdf</a>.</p> <p>This U.S. Department of Education resource provides non-regulatory guidance on the specific advantages and flexibilities inherent in schoolwide programs, clarifies common misunderstandings about schoolwide programs that may persist, and serves as a resource, in conjunction with existing guidance, for SEAs, LEAs, and schools:  <a href="https://www2.ed.gov/policy/elsec/leg/essa/essaswpguidance9192016.pdf">https://www2.ed.gov/policy/elsec/leg/essa/essaswpguidance9192016.pdf</a>.</p> <p>This U.S. Department of Education resource provides non-regulatory guidance on the following fiscal issues: Maintenance of Effort; Comparability; Supplement, not Supplant; Carryover; Consolidating funds in schoolwide programs; and Grantback requirements:  <a href="https://www2.ed.gov/programs/titleiparta/fiscalguid.pdf">https://www2.ed.gov/programs/titleiparta/fiscalguid.pdf</a>.</p> <p>This U.S. Department of Education resource provides non-regulatory guidance on fiscal changes and equitable services requirements under ESSA:  <a href="https://www2.ed.gov/policy/elsec/leg/essa/essaguidance160477.pdf">https://www2.ed.gov/policy/elsec/leg/essa/essaguidance160477.pdf</a>.</p> <p>This U.S. Department of Education resource provides non-regulatory guidance reminding State and local decision-makers about the importance of investing in early learning, highlighting the opportunities available under the law to strengthen early education, and providing examples of how States and local communities may support young children’s success in school:  <a href="https://www2.ed.gov/policy/elsec/leg/essa/essaelguidance10202016.pdf">https://www2.ed.gov/policy/elsec/leg/essa/essaelguidance10202016.pdf</a>.</p> <p>This OSSE website provides resources on ESSA requirements for parent and family engagement as well as resources to support implementation:  <a href="https://osse.dc.gov/node/1309281">https://osse.dc.gov/node/1309281</a>.</p>
<p><b>OSSE Contact</b></p>	<p><b>Mrs. Bonnie Bacon</b>  Supervisory Education Program Specialist  Division of Systems and Supports, K-12  Office of the State Superintendent of Education  Cell: (202) 765-7155  Desk: (202) 545-7224 or <a href="mailto:Bonnie.Bacon@dc.gov">Bonnie.Bacon@dc.gov</a></p>

**Title I, Part A: 1003, School Improvement Funds**

<b>Grant Name</b>	Title I, 1003
<b>Legal Citation</b>	<p><u>Program Monitoring</u> Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, §1003; 20 U.S.C. 6301 et seq.</p> <p><u>Supplement Not Supplant Monitoring</u> Elementary and Secondary Education Act of 1965, as enacted by Every Student Succeeds Act, December 10, 2015, ESEA §1003(e)(1)(F)(2)</p>
<b>Grant Type</b>	Formula
<b>Grant Purpose</b>	<p><u>Background</u> Under No Child Left Behind, Section 1003 allowed state education agencies to allocate funds to local education agencies (LEAs) to low performing schools (Priority and Focus schools).</p> <p>In Dec. 2015, the “Every Student Succeeds Act” (ESSA) was enacted. Under ESSA, school improvement funding is now under Section 1003 of the law to support low performing schools (Comprehensive Support and Improvement (CS) and Targeted Support and Improvement (TS) schools).</p> <p>In anticipation that states may not have an approved plan by the start of the 2017-18 school year, ED permitted states to delay the identification of CS and TS schools and continue to support and intervene in their existing Priority and Focus schools as they did in the 2016-17 school year. OSSE took this approach.</p> <p>For this reason, for the 2017-18 school year OSSE “froze” school classifications. All schools maintained their 2016-17 school year classifications and 1003(a) funding levels.</p> <p>For the 2017-18 school year, LEAs will be monitored for compliance against Supplement Not Supplant requirements under ESSA.</p> <p><u>Purpose</u> 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 2017-18 school year is the last year that Priority and Focus designations were in place. In the 2018-19 school year, OSSE will issue new classifications aligned with the new accountability system.</p>

<p><b>OSSE Monitoring Requirement</b></p>	<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.</p>
<p><b>Annual Subrecipient Reporting Requirements</b></p>	<p>N/A</p>
<p><b>Additional Requirements</b></p>	<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><b>Web-Based Resources on Grant Program</b></p>	<p>Below is a list of resources to support implementation of the Title I, 1003 grant.</p> <p><b><u>Overview</u></b>  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><b><u>Resources</u></b>  This OSSE website provides a summary of intervention strategies for Priority and Focus schools:  <a href="https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/Intervention%20Strategies%20Priority%20%26%20Focus.pdf">https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/Intervention%20Strategies%20Priority%20%26%20Focus.pdf</a></p> <p>This OSSE webinar provides guidance on how to leverage evidence-based practices for school improvement: <a href="https://osse.dc.gov/node/1275686">https://osse.dc.gov/node/1275686</a></p> <p>This OSSE website lists Priority and Focus Schools for 2017-2018:  <a href="https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/List%20of%20Priority%20and%20Focus%20Schools%20for%20the%202017-18%20School%20Year_1.pdf">https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/List%20of%20Priority%20and%20Focus%20Schools%20for%20the%202017-18%20School%20Year_1.pdf</a></p> <p>This OSSE communication describes OSSE’s timeline for implementation of DC’s new accountability system and the use of the 2017-2018 school year a transition year in which OSSE held school classifications based on data from the 2016-2017 year: <a href="https://osse.dc.gov/node/1268821">https://osse.dc.gov/node/1268821</a></p> <p>This OSSE communication describes OSSE’s implementation plan for the 1003 grant for improvement activities under ESSA for the 2018-19 school year:  <a href="https://osse.dc.gov/sites/default/files/dc/sites/osse/page_content/attachments/Dear%20LEA%20Leader.pdf">https://osse.dc.gov/sites/default/files/dc/sites/osse/page_content/attachments/Dear%20LEA%20Leader.pdf</a></p>
<p><b>OSSE Contact</b></p>	<p><b>Ms. Renu Oliver</b>  School Improvement Initiatives Manager  Accountability, Performance and Support Cluster  Division of Systems and Supports, K-12  (202) 741-5251 or <a href="mailto:Renu.Oliver@dc.gov">Renu.Oliver@dc.gov</a></p>

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

<b>Grant Name</b>	Title I, Part A, School Improvement Grant (SIG)
<b>Legal Citation</b>	Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, § 1003(g)
<b>Grant Type</b>	Competitive-Continuation
<b>Grant Purpose</b>	<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> <p><b>Turnaround Model:</b> 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.</p> <p><b>Restart Model:</b> The LEA converts or closes and reopens a school under a charter school operator, charter management organization, or education management organization.</p> <p><b>School Closure:</b> The LEA closes the school and enrolls the students in other schools in the LEA that are higher achieving.</p> <p><b>Transformation Model:</b> 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.</p> <p><b>State-Determined School Improvement Model:</b> 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.</p> <p><b>Evidence-Based Whole School Reform Model:</b> 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.</p> <p><b>Early Learning Intervention Model:</b> The LEA offers full-day kindergarten, establishes or expands a high-quality preschool program, and prior to implementing the model, replaces the principal.</p>

<b>OSSE Monitoring Requirement</b>	<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.</p>
<b>Annual Subrecipient Reporting Requirements</b>	Monthly progress reports
<b>Web-Based Resources on Grant Program</b>	<p>This U.S. Department of Education School Improvement Grant website provides several resources, including the Final Requirements and related guidance:  <a href="http://www2.ed.gov/programs/sif/index.html">http://www2.ed.gov/programs/sif/index.html</a></p>
<b>OSSE Contact</b>	<p><b>Ms. Christina Parrish</b>  School Improvement Grants Program Manager  Accountability, Performance and Support Cluster  Division of Systems and Supports, K-12  (202) 247-6390 or <a href="mailto:Christina.Parrish@dc.gov">Christina.Parrish@dc.gov</a></p>

**Title I, Part D: Prevention and Intervention Programs for Children and Youth who are Neglected, Delinquent or At-Risk**

<b>Grant Name</b>	Title I, Part D – Prevention and Intervention Programs for Children and Youth who are Neglected, Delinquent or At-Risk
<b>Legal Citation</b>	Elementary and Secondary Education Act of 1965, as amended, Title I, Part D, §§ 1401 - 1402, 1411- 1419  20 U.S.C. §§ 6421-6439
<b>Grant Type</b>	Formula
<b>Grant Purpose</b>	<p>The purpose of this grant is to support children and youth who are neglected, delinquent, or at-risk in order to:</p> <ol style="list-style-type: none"> <li>(1) 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</li> <li>(2) Provide children and youth who are neglected or delinquent with services so that they can successfully transition from institutionalization to further schooling or employment; and</li> <li>(3) 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.</li> </ol>
<b>OSSE Monitoring Requirement</b>	<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> <ol style="list-style-type: none"> <li>(1) Reviewing financial and performance reports required by the pass-through entity.</li> <li>(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.</li> <li>(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.</li> </ol>

Annual State/Public Agency	Annual Report of Children in Institutions for Neglected or Delinquent Children
Reporting Requirements	<p><b>Adult Correctional Institutions, and Community Day Programs for Neglected or Delinquent Children:</b> 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><b>Consolidated State Performance Report (CSPR):</b> 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><b>Maintenance of Effort (MOE):</b> Maintenance of Effort refers to the need for each subrecipient, as a condition of receiving funds under any "covered program" 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>
Web-Based Resources on Grant Program	<p>This U.S. Department of Education website reviews Title I, Part D program strategies which support a fair and equal opportunity for high-quality education, transition services and dropout prevention services. It further includes laws, regulations, and guidance: <a href="https://www2.ed.gov/programs/titleipartd/legislation.html">https://www2.ed.gov/programs/titleipartd/legislation.html</a>.</p> <p>This U.S. Department of Education non-regulatory guidance details the requirements of the Title I, Part D grant, including program evaluation: <a href="https://www2.ed.gov/policy/elsec/guid/nord.doc">https://www2.ed.gov/policy/elsec/guid/nord.doc</a>.</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: <a href="https://www2.ed.gov/programs/titleiparta/fiscalguid.pdf">https://www2.ed.gov/programs/titleiparta/fiscalguid.pdf</a>.</p> <p>This website provides information from the National Technical Assistance Center for the Education of Neglected or Delinquent Children and Youth (NDTAC), a national resource center supported by the U.S. Department of Education, 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: <a href="https://neglected-delinquent.ed.gov/">https://neglected-delinquent.ed.gov/</a>.</p>



<b>OSSE Contact</b>	<b>Ms. Alison Losey</b> Program Analyst Special Programs Cluster Division of Systems and Supports, K-12 (202) 654-6110 or <a href="mailto:Alison.Losey@dc.gov">Alison.Losey@dc.gov</a>
---------------------	--

**Title II, Part A: Preparing, Training, and Recruiting High Quality Teachers,  
Principals and Other School Leaders**

<b>Grant Name</b>	Title II – Preparing, Training and Recruiting High Quality Teachers, Principals and Other School Leaders
<b>Legal Citation</b>	Elementary and Secondary Education Act of 1965, as amended, Title II, Part A, § 2103  20 U.S.C. § 6613
<b>Grant Type</b>	Formula
<b>Grant Purpose</b>	<p>The purpose of this grant is to support State educational agencies, LEAs, State agencies for higher education, and eligible partnerships in order to —</p> <ul style="list-style-type: none"> <li>(1) increase student achievement consistent with the challenging State academic standards;</li> <li>(2) Improve the quality and effectiveness of teachers, principals, and other school leaders;</li> <li>(3) increase the number of teachers, principals, and other school leaders who are effective in improving student academic achievement in schools; and</li> <li>(4) provide low-income and minority students greater access to effective teachers, principals, and other school leaders.</li> </ul>

<p><b>OSSE Monitoring Requirement</b></p>	<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 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.</p>
<p><b>Annual Subrecipient Reporting Requirements</b></p>	<p><b>New or Significantly Expanding Public Charter School (NOSEPCS):</b> 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>. (34 CFR Part 76)</p>
<p><b>Web-Based Resources on Grant Program</b></p>	<p>This U.S. Department of Education resource provides non-regulatory guidance on how to provide support for educations, ensure educator equity, and leverage funding to achieve maximum impact:</p> <p><a href="https://www2.ed.gov/policy/elsec/leg/essa/essatitleiipartaguidance.pdf">https://www2.ed.gov/policy/elsec/leg/essa/essatitleiipartaguidance.pdf</a></p>
<p><b>OSSE Contact</b></p>	<p><b>Mrs. Bonnie Bacon</b>  Supervisory Education Program Specialist  Division of Systems and Supports, K-12  Office of the State Superintendent of Education  Cell: (202) 765-7155  Desk: (202) 545-7224 or <a href="mailto:Bonnie.Bacon@dc.gov">Bonnie.Bacon@dc.gov</a></p>

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

<b>Grant Name</b>	Title III – Language Instruction for English Learners and Immigrant Students
<b>Legal Citation</b>	Elementary and Secondary Education Act of 1965, as amended, Title III, §§-3115-3116  20 U.S.C. § 6825-6826
<b>Grant Type</b>	Formula
<b>Grant Purpose</b>	<p>The purposes of this grant are:</p> <p>(1) to help ensure that English learners, including immigrant children and youth, attain English proficiency and develop high levels of academic achievement in English;</p> <p>(2) to assist all English learners, including immigrant children and youth, to achieve at high levels in academic subjects so that all English learners can meet the same challenging State academic standards that all children are expected to meet;</p> <p>(3) to assist teachers (including preschool teachers), principals and other school leaders, State educational agencies, local educational agencies, and schools in establishing, implementing, and sustaining effective language instruction educational programs designed to assist in teaching English learners, including immigrant children and youth;</p> <p>(4) to assist teachers (including preschool teachers), principals and other school leaders, State educational agencies, and local educational agencies to develop and enhance their capacity to provide effective instructional programs designed to prepare English learners, including immigrant children and youth, to enter all-English instructional settings; and</p> <p>(5) to promote parental, family, and community participation in language instruction educational programs for the parents, families, and communities of English learners.</p>

<p><b>OSSE Monitoring Requirement</b></p>	<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 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.</p>
<p><b>Annual Subrecipient Reporting Requirements</b></p>	<p>Annual</p>
<p><b>Web-Based Resources on Grant Program</b></p>	<p>This U.S. Department of Education resource provides guidance on how Title III funds may be used to provide supplemental services that improve the English language proficiency and academic achievement of ELs, including through the provision of language instruction educational programs (LIEPs) and activities that increase the knowledge and skills of teachers who serve ELs:  <a href="https://www2.ed.gov/policy/elsec/leg/essa/essatitleiiiiguidenglishlearners92016.pdf">https://www2.ed.gov/policy/elsec/leg/essa/essatitleiiiiguidenglishlearners92016.pdf</a></p> <p>This OSSE resource provides guidance for administrators, instruction leaders and teachers in DC providing services to English Learners:  <a href="https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/EL_Policy_FINAL.pdf">https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/EL_Policy_FINAL.pdf</a></p>
<p><b>OSSE Contact</b></p>	<p><b>Mrs. Bonnie Bacon</b>  Supervisory Education Program Specialist  Division of Systems and Supports, K-12  Office of the State Superintendent of Education  Cell: (202) 765-7155  Desk: (202) 545-7224 or <a href="mailto:Bonnie.Bacon@dc.gov">Bonnie.Bacon@dc.gov</a></p>

## Title IV, Part B: 21st Century Community Learning Centers (21st CCLC) Grant

<b>Grant Name</b>	Title IV, Part B – 21st Century Community Learning Centers
<b>Legal Citation</b>	<p>Elementary and Secondary Education Act of 1965, as amended, Title IV, Part B: §§ 4201- 4206</p> <p>20 U.S.C. §§ 7171 - 7176</p>
<b>Grant Type</b>	Competitive
<b>Grant Purpose</b>	<p>Elementary and Secondary Education Act of 1965, as amended, Title IV, Part B: § 4201. PURPOSE; DEFINITIONS.</p> <p>(a) PURPOSE.—The purpose of this part is to provide opportunities for communities to establish or expand activities in community learning centers that—</p> <p>(1) provide opportunities for academic enrichment, including providing tutorial services to help students, particularly students who attend low-performing schools, to meet the challenging State academic standards;</p> <p>(2) offer students a broad array of additional services, programs, and activities, such as youth development activities, service learning, nutrition and health education, drug and violence prevention programs, counseling programs, arts, music, physical fitness and wellness programs, technology education programs, financial literacy programs, environmental literacy programs, mathematics, science, career and technical programs, internship or apprenticeship programs, and other ties to an in-demand industry sector or occupation for high school students that are designed to reinforce and complement the regular academic program of participating students; and</p> <p>(3) offer families of students served by community learning centers opportunities for active and meaningful engagement in their children’s education, including opportunities for literacy and related educational development.</p>
<b>OSSE Monitoring Requirement</b>	<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.</p>
<p><b>Annual LEA reporting requirements</b></p>	<p>Interim Reporting: Subrecipients are required to submit quarterly performance reports to OSSE.</p> <p>Annual External Evaluation Report: Subrecipients are required to submit a copy of the annual 21st CCLC program evaluation report to OSSE within 30 days of the beginning of the next 21st Century Community Learning Centers program year.</p> <p>Federal Data Collection System Reporting: Subrecipients are required to collect and submit Annual Performance Report (APR) information through the USED’s 21APR data collection system.</p> <p>Reimbursement Requests: Requests for reimbursement must be submitted at least once quarterly but no more than once monthly.</p>
<p><b>Web-Based Resources on Grant Program</b></p>	<p>This OSSE website provides information on the 21st Century Community Learning Centers (CCLC) grant: <a href="https://osse.dc.gov/service/title-iv-part-b-21st-century-community-learning-centers-cclc">https://osse.dc.gov/service/title-iv-part-b-21st-century-community-learning-centers-cclc</a></p> <p>This U.S. Department of Education resources provides non-regulatory guidance on how to administer 21st Century Community Learning Centers (CCLC) grant: <a href="https://www2.ed.gov/programs/21stcclc/guidance2003.pdf">https://www2.ed.gov/programs/21stcclc/guidance2003.pdf</a></p>

**Title VII-B: McKinney-Vento Homeless Assistance Act**

<b>Grant Name</b>	McKinney-Vento Homeless Assistance
<b>Legal Citation</b>	42 U.S.C. 11432 et seq.
<b>Grant Type</b>	Competitive  [Note: Some provisions of the McKinney-Vento Homeless Education Assistance Act apply to all LEAs regardless of whether funding received under this Title.]
<b>Grant Purpose</b>	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.
<b>OSSE Monitoring Requirement</b>	<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.</p>



<p><b>Annual Subrecipient Reporting Requirements</b></p>	<p><b>Ongoing:</b> Homeless student data uploaded and entered into the McKinney-Vento QuickBase (MKV QB) application; which resets annually.</p> <p><b>Annual:</b> Census data regarding homeless students in partnership with The Community Partnership for the Prevention of Homelessness (TCP) and needs assessment data as part of subgrantees’ original and continuation application processes.</p>
<p><b>Web-Based Resources on Grant Program</b></p>	<p>This website provides information from the Community Partnership for the Prevention of Homelessness (TCP). It is the primary repository for client level data for consumers of homeless services in the District of Columbia. This resource creates customized recommendations related to the assessment and provision of services 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.  <a href="http://www.community-partnership.org">http://www.community-partnership.org</a>.</p> <p>This OSSE communication tool is used between LEAs and OSSE to identify homeless students, as well as areas of concern or need:  <a href="https://octo.quickbase.com">https://octo.quickbase.com</a>.</p> <p>This OSSE tool in Qlik, the Compressive Homeless Student Data application, enables LEAs to access timely information to assist in the provision of educational supports for homeless students:  <a href="https://sled.osse.dc.gov/info/OSSE-Reports">https://sled.osse.dc.gov/info/OSSE-Reports</a>.</p> <p>This U.S. Department of Education website provides technical assistance and information center on the federal Education for Homeless Children and Youth (EHCY) Program, the National Center for Homeless Education (NCHE):  <a href="http://center.serve.org/nche">http://center.serve.org/nche</a>.</p> <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: <a href="http://www.naehcy.org">http://www.naehcy.org</a>.</p>

<b>OSSE Contacts</b>	<p><b>Mrs. Nicole Lee-Mwandha</b> Homeless Education State Coordinator Community Learning and School Support Cluster Division of Systems and Supports, K-12 (202) 654-6123 or <a href="mailto:Nicole.Lee-Mwandha@dc.gov">Nicole.Lee-Mwandha@dc.gov</a></p> <p><b>Ms. Danielle C. Rollins</b> Homeless Education Program Analyst Community Learning and School Support Cluster Division of Systems and Supports, K-12 (202) 741-0255 or <a href="mailto:Danielle.Rollins@dc.gov">Danielle.Rollins@dc.gov</a></p> <p><b>Mr. Tasheen Stallings</b> Homeless Education Program Analyst Community Learning and School Support Cluster Division of Systems and Supports, K-12 (202) 478-5927 or <a href="mailto:Tasheen.Stallings@dc.gov">Tasheen.Stallings@dc.gov</a></p>
----------------------	--

## IDEA Part B: Section 611 & Section 619 Summary

<b>Grant Name</b>	Individual With Disabilities Education Act, Part B
<b>Legal Citation</b>	20 U.S.C. §1400 et seq.
<b>Grant Type</b>	Formula
<b>Grant Purpose</b>	<p>The purpose of this grant is:</p> <ol style="list-style-type: none"> <li>(1) 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;</li> <li>(2) To ensure that the rights of children with disabilities and their parents are protected;</li> <li>(3) To assist States, localities, educational service agencies, and Federal agencies to provide for the education of all children with disabilities; and</li> <li>(4) To assess and ensure the effectiveness of efforts to educate children with disabilities.</li> </ol>
<b>OSSE Monitoring Requirement</b>	<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>
<b>Annual Subrecipient Reporting Requirements</b>	<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>

<p><b>Web-Based Resources on Grant Program</b></p>	<p>This document provides OSSE’s guidance on IDEA, Part B monitoring: <a href="https://osse.dc.gov/publication/specialized-education-monitoring-compliance-manual-idea-part-b">https://osse.dc.gov/publication/specialized-education-monitoring-compliance-manual-idea-part-b</a>.</p> <p>This website provides guidance on LEA Maintenance of Effort (MOE) and Coordinated Early Intervening Services (CEIS): <a href="http://cifr.wested.org/resources">http://cifr.wested.org/resources</a>.</p> <p>This U.S. Department of Education website provides guidance on IDEA Monitoring, Technical Assistance, and Enforcement: <a href="http://sites.ed.gov/idea">http://sites.ed.gov/idea</a>.</p> <p>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 practice efforts: <a href="https://www.osepideasthatwork.org">https://www.osepideasthatwork.org</a>.</p>
<p><b>OSSE Contact</b></p>	<p><b>Ms. Karen Morgan-Donaldson</b>  LEA Supervisory Monitoring Specialist  Accountability, Performance, and Support Cluster  Division of Systems and Supports, K-12  202-724-7803 or <a href="mailto:Karen.Morgan-Donaldson@dc.gov">Karen.Morgan-Donaldson@dc.gov</a>.</p>

**Scholarships for Opportunity and Results (SOAR) Act**

<b>Grant Name</b>	Scholarships for Opportunity and Results (SOAR) Act
<b>Legal Citation</b>	The Scholarships for Opportunity and Results (SOAR) Act, Pub. L. 112-10, 125 Stat. 199  §3004(b)(2)
<b>Grant Type</b>	Formula (Academic Quality/Early Childhood grant) Competitive (Facilities grant, Third Party grant, Teacher Pipeline grant)
<b>Grant Purpose</b>	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.
<b>OSSE Monitoring Requirement</b>	<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.</p>
<b>Annual Subrecipient Reporting Requirements</b>	Semi-annual reporting and final report

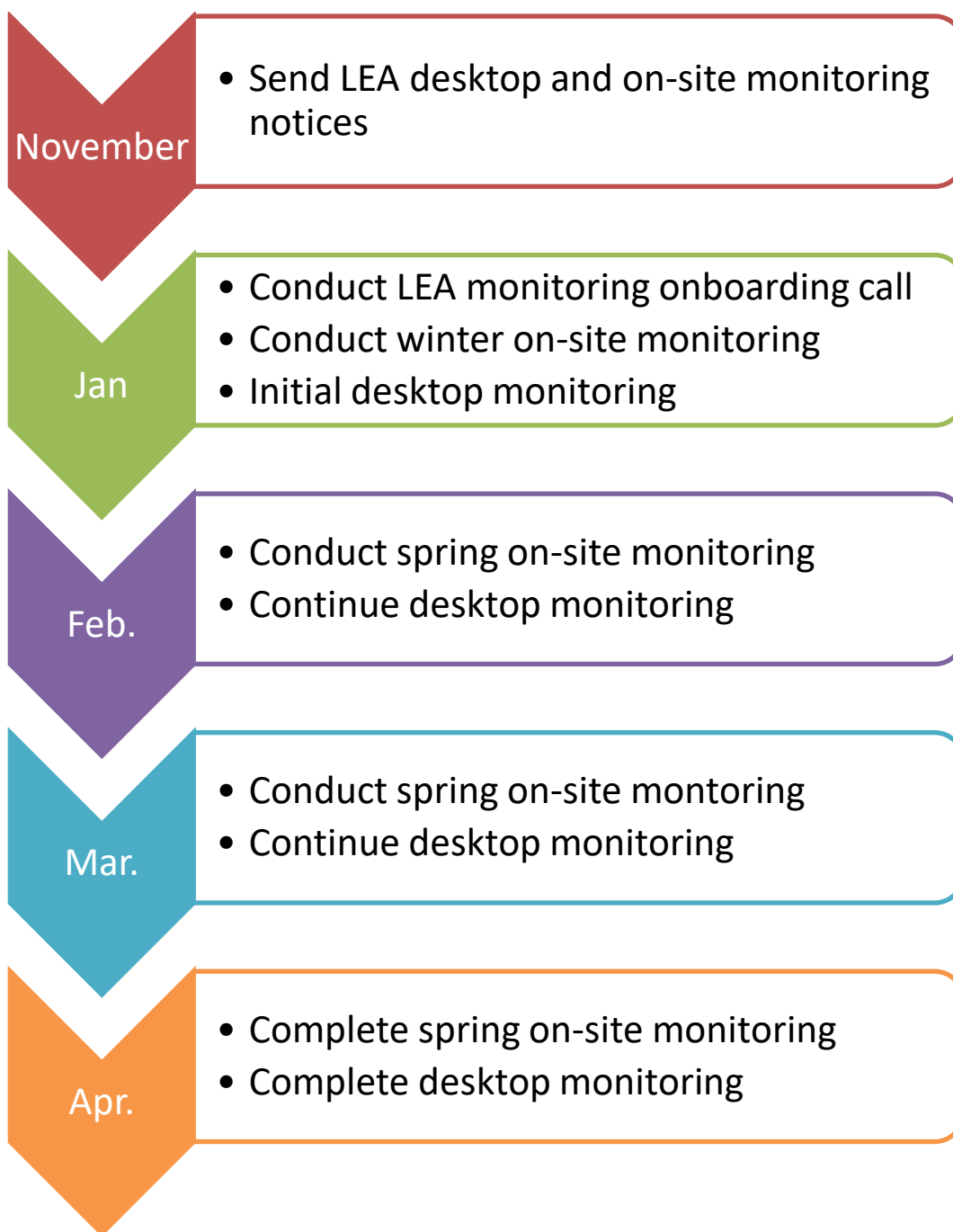
<p><b>Web-Based Resources on Grant Program</b></p>	<p>This website is OSSE’s SOAR ACT information portal, where all information regarding SOAR ACT and OSSE grant awarding information (including timelines, RFA, application information, etc.) can be found: <a href="http://osse.dc.gov/service/scholarships-opportunity-and-results-soar-act-grant">http://osse.dc.gov/service/scholarships-opportunity-and-results-soar-act-grant</a>.</p>
<p><b>OSSE Contact</b></p>	<p><b>Ms. Ronda Kardash</b>  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 <a href="mailto:Ronda.Kardash@dc.gov">Ronda.Kardash@dc.gov</a></p>

## **Appendix**

**This page intentionally left blank**



**Division of Systems and Supports, K-12**  
**Annual Monitoring Cycle 2018-19**



This page intentionally left blank



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

### Table of Contents

	<u>Page</u>
I. DEFINITIONS AND PURPOSE OF MONITORING .....	3
II. MONITORING CRITERIA .....	3
III. TYPES OF MONITORING ACTIVITIES .....	4
IV. TYPES OF EVIDENCE REQUESTED .....	5
V. COORDINATING MONITORING ACROSS OSSE .....	6
VI. MONITORING REPORTS .....	6
VII. CORRECTIVE ACTION PLAN (CAP) .....	6
VIII. CONDITIONS/RESTRICTIONS .....	6
IX. RESOLUTION OF NONCOMPLIANCE .....	7
X. MONITORING SUMMARY TIMETABLE .....	7
XI. MANAGEMENT DECISION LETTERS .....	8
XII. DEFINITIONS .....	8

## 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.

<b>OSSE Monitoring Activity</b>	<b>Due date</b>
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**



## OSSE Consolidated Monitoring Tool

<b>Subgrantee:</b>	<input type="text"/>
<b>Monitoring Date(s):</b>	<input type="text"/>

### Monitoring Results

Grants Monitored:		Met Requirements	Recommendations	Findings of Noncompliance
<b>Fiscal-General</b>	<b>Fiscal</b>			
<b>Individuals with Disabilities Education Act (IDEA) Regulations, Part B</b>	<b>Program</b>			
	<b>Fiscal</b>			
<b>IDEA (Correctional)</b>	<b>Program</b>			
<b>Title I</b>	<b>Program</b>			
	<b>Fiscal</b>			
<b>Title I, Part D</b>	<b>Program</b>			
	<b>Fiscal</b>			
<b>Title II</b>	<b>Program</b>			
	<b>Fiscal</b>			
<b>Title III</b>	<b>Program</b>			
	<b>Fiscal</b>			
<b>Title IV, Part B</b>	<b>Program</b>			
	<b>Fiscal</b>			
<b>Title V, Part B</b>	<b>Program</b>			
<b>SOAR, Academic Quality</b>	<b>Program</b>			
<b>McKinney-Vento</b>	<b>Program</b>			
	<b>Fiscal</b>			
<b>SIG</b>	<b>Program</b>			
	<b>Fiscal</b>			
<b>1003</b>	<b>Program</b>			
<b>Special Education Enhancement Fund (SEEF)</b>	<b>Program</b>			

### Corrective Action Plan

Monitoring Team: (names and titles)	

#### Introduction:

As the State Education Agency (SEA) for the District of Columbia, the Office of the State Superintendent of Education (OSSE) is responsible for the distribution and oversight of state-administered federal education funds. As such, OSSE is responsible for providing subgrantees with clear guidance, policies, and technical assistance related to the local and federal statutes, regulations, and non-regulatory guidance governing its federal education funds.

In addition to compliance, OSSE's monitoring process is designed to provide subgrantees 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 10 calendar days to review the information and share any additional information that may demonstrate compliance. Ninety calendar 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 2018-2019 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
<p><b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b></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><b>Indicator 1: Financial Management</b></p>					
1.1	<p>The subgrantee can provide evidence that its financial management system provides for the identification in its accounts of all Federal awards received and expended and the Federal programs under which they were received. Federal program and Federal award identification must include, as applicable, the CFDA title and number, Federal award identification number and year, name of the Federal agency, and name of the pass-through entity, if any.</p>	2 CFR §200.302(b)(1)	<p>- Screenshots of financial management system, including screenshots showing the identification of awards within the financial management system</p> <p>- Financial management system documentation including the following:</p> <ol style="list-style-type: none"> <li>1. Sample accounting journal entry from FY18 that includes transactions using federal grant program funds subject to monitoring;</li> <li>2. General ledger; and</li> <li>3. Chart of accounts.</li> </ol>		
1.2	<p>The subgrantee can provide evidence that its financial management system provides for the accurate, current, and complete disclosure of the financial results of each Federal award or program.</p>	2 CFR §200.302(b)(2)	<p>- Fiscal management system documentation requested in Indicator 1.1</p>		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _General Ledger).</b>			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.		
1.3	The subgrantee can provide evidence that its financial management system provides for the 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.	2 CFR §200.302(b)(3)	- Fiscal management system documentation requested in Indicator 1.1 - Subgrantee source documentation to support OSSE's expenditure sample request such as invoices and receipts of payment			
1.4	The subgrantee can provide evidence that its financial management system provides for the comparison of expenditures with budget amounts for each Federal award.	2 CFR §§200.302(b)(5) and 200.308	- Fiscal management documentation requested in Indicator 1.1 - Evidence of internal controls such as reconciliation between the approved OSSE budget and subgrantee expenditures (e.g., budget reconciliation)			



FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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.		
1.5	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 procedures for managing information and documentation, including its requirements for protecting personally identifiable information and electronic records.	2 CFR §§200.302(b) and 200.303(e)	- Subgrantee source documentation to support OSSE's expenditure sample requests such as invoices, receipts of payment, and contracts - Subgrantee financial policies and procedures related to the following: <ul style="list-style-type: none"> <li>- Accounting and budgeting practices</li> <li>- Allowability procedures</li> <li>- Cash management procedures</li> <li>- Record retention policies</li> <li>- Methods for collection, transmission, and storage of personally identifiable information</li> </ul>			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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	The subgrantee can provide evidence of financial operations and procedures which demonstrate evidence of internal controls.	2 CFR §§200.302 and 200.303	- Subgrantee source documentation to support OSSE's expenditure sample requests such as purchase orders, invoices, receipts, and contracts - Subgrantee financial policies and procedures requested in Indicator 1.5			
1.7	The subgrantee can demonstrate that funds for the current grant period were obligated within the period of availability.	34 CFR §§76.707-76.710, 2 CFR §§200.77 and 200.309	- Subgrantee source documentation to support OSSE's expenditure sample requests such as invoices, receipts of payment, and contracts			
<b>Indicator 2: Compensation for Personnel Services</b>						
2.1	The subgrantee maintains compliant time and effort records that meet the following requirements: (1) are supported by a system of internal controls which provides reasonable assurance that charges are accurate, allowable, and properly allocated; (2) are incorporated into official records; (3) reasonably reflect total activity for which employee is compensated by subgrantee; (4) encompass both federally assisted and other activities compensated by the non-federal entity on an integrated basis; (5) comply with established accounting policies and practices or meet the requirements of a substitute system and if applicable, support the distribution of the employee's salary or wages among specific activities or cost objectives.	2 CFR §§200.430(i) and 200.430(vii)	-Time and effort policy -Two periods of time and effort documentation for personnel funded by grant(s) being monitored - Timesheets for personnel funded by grant(s) being monitored - Position description for personnel funded by grant(s) being monitored - Semi-annual certifications signed by employee/immediate supervisor for personnel funded by grant(s) being monitored - PARs/Monthly Activity Reports for personnel funded by grant(s) being monitored - Corrective journal entries, if applicable - List of personnel by funding source for personnel funded by grant(s) being monitored			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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 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 subgrantee; 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.	2 CFR §§200.302(b)(4), 200.303, and 200.430(i)	- Payroll policy - Financial policies and procedures - Organizational chart - List of federally funded employees terminated or separated within the last 12 months - Payroll distribution report for FY18 from which OSSE will request supporting documentation for select staff during on-site visit			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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.		
<b>Indicator 3: Equipment and Technology/Property Management</b>						
3.1	The subgrantee can provide written equipment management and control policies that demonstrate how it safeguards all assets purchased with federal funds, including both equipment and high value and/or mobile items with a purchase price less than \$5,000. The policies must detail what actions the subgrantee takes when property is lost, damaged, or stolen.	2 CFR §200.302(b)(4); 2 CFR §200.313(d)(3)	- Property management policy - Police report(s) for stolen equipment, if applicable			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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.		
<b>Indicator 3: Equipment and Technology/Property Management (This section only applies to subgrantees that used the federal grants under review to purchase equipment during the program year).</b>						
3.2	The subgrantee maintains the following records for equipment and computing devices purchased with federal funds:  a. Description of the item. b. Serial number or other identification number. c. Funding Source (including the FAIN). d. Entity that 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)	- Property management policy - Subgrantee inventory list of equipment purchased with federal funds	- OSSE will conduct a physical inventory of select items identified from the subgrantee inventory list to review equipment and tracking numbers.		
3.3	The subgrantee can provide evidence that its equipment policy includes maintenance procedures to keep property in good condition.	2 CFR §200.313(d)(4)	- Property management policy			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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.		
3.4	The subgrantee conducts a physical inventory check on computing devices and equipment purchased with federal funds at least every two years that includes the following: a. Confirms the computing devices and equipment were found at the location as identified in the equipment database; b. Assesses the condition of the computing devices and equipment; c. Confirms that computing devices and equipment were located in a secure environment (equipment is located in a room, storage cabinet, etc. that can be locked up when not in use); d. Investigates any lost, damaged or stolen computing devices and equipment; and e. 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 and computing devices, or other areas of non-compliance.	2 CFR §§200.302(b)(4), 200.313(d)(2), and 200.313 (d)(3)	- Property management policy - Evidence of when the subgrantee conducted the inventory check (e.g., date notations on inventory log)			
3.5	The subgrantee has a process to formally dispose of equipment and pay back proportionate amounts as required (if fair market value exceeds \$5,000 or more).	2 CFR §200.313(e)	- Property management policy			
3.6	The subgrantee has a process to formally dispose of supplies and pay back proportionate amounts as required (if total aggregate value exceeds \$5,000).	2 CFR §§200.20, 200.94 and 200.314	- Property management policy			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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.		
<b>Indicator 4: Procurement Standards</b>						
4.1	The subgrantee has, in effect, written purchasing practices and policies.	2 CFR §200.318(a)	- Procurement policy			
<b>Indicator 4: Procurement Standards (This section only applies to subgrantees that used the federal grants under review to procure goods or services during the program year).</b>						
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 and that the appropriate method of procurement is being used: micro-purchases; small purchase procedures; sealed bids; or competitive proposals. 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 - List of solicitations used to procure goods and services with federal funds	- Solicitations selected by OSSE following review of the subgrantee list of solicitations. Of the solicitations selected by OSSE, the subgrantee must provide the following: 1. Copy of the solicitation; and 2. Evidence of the procurement method (competitive or sole source) (a) If the competitive procurement method was used to procure goods or services, the subgrantee must provide the following: - Copies of bids received; and - Vendor applications, proposals or estimates. (b) If the sole source procurement method was used to purchase goods or services, the subgrantee must submit the following: - the rationale for using the non-competitive process; - independent quotes or research; and - contract or other agreement detailing the services or goods agreed to be provided by the vendor.		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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 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) -(d)	- Procurement policy	- Documents requested for Indicator 4.2		
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, conditions and specifications of their contract or purchase orders.	2 CFR §200.318(b)	- Fully executed contract(s) for OSSE identified procurements in the expenditure sample - Procurement policy - Contract amendments, if applicable - Subgrantee source documentation to support OSSE's expenditure sample requests such as change orders, evaluation(s) of services rendered or work performed, vendor call logs, etc.			
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	- Subgrantee source documentation to support OSSE's expenditure sample requests such as contracts, invoices, checks, e-checks, and bank statements demonstrating payment			
4.6	The subgrantee can provide evidence that a price or cost analysis has been performed on procurements over the small purchase threshold (\$100,000 for DCPS, \$25,000 for charter schools) in compliance with published protocols and made independent estimates before receiving bids or proposals.	2 CFR §§200.88 and 200.323	- Contract cost or price analysis for solicitations identified in OSSE's expenditure sample - Copy of advertisement published in two major city newspapers			



FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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.		
4.7	The subgrantee can provide evidence that it submitted the required documentation to PSCB relating to contracts exceeding \$25,000. (Charters only)	2 CFR §200.318(a)	- Notification to PCSB of contracts totaling \$25,000 or more to a single vendor for FY18 including all correspondence, emails, memorandums to PCSB (i.e., EpiCenter email or screenshot of notification email to PCSB) - List of contracts over \$25,000 or contracts totaling \$25,000 or more from a single vendor within a fiscal year			
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 - Subgrantee source documentation to support OSSE's expenditure sample requests such as the following: - Requests for proposals - Bids or quotes from multiple vendors - Price lists - Proposed statements of work, estimates, catalogs and other generally available product literature published by comparable vendors - Evidence of review and evaluation of bids			
4.9	The subgrantee can provide evidence of 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	- Sample of five Employee Disclosures or Conflict of Interest Policies signed by subgrantee staff identified by OSSE		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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.		
4.10	If the subgrantee has a parent organization, the subgrantee maintains written standards of conduct covering organizational conflicts of interest <b>(Charters only)</b> .	2 CFR §200.318(c)(2)	- Procurement policy - Conflict of Interest Policy			
4.11	Subgrantee only uses noncompetitive proposals under the following circumstances: (1) the item is available only from a single source; (2) the public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation; (3) the Federal awarding agency or pass through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity; or (4) after solicitation of a number of sources, competition is determined inadequate.	2 CFR §200.320(f)	- Procurement policy - If the sole source procurement method was used to purchase goods or services from the OSSE identified expenditure sample, the subgrantee must submit the following: - the rationale for using the non-competitive process - independent quotes or research - contract or other agreement detailing the services or goods agreed to be provided by the vendor - Link to DC Register notification of solicitation			
4.12	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, 200.213 and 2 CFR 200 Part 180	- Screenshots showing the date that the subgrantee checked sam.gov to verify that the vendor was not on the Excluded Party List (EPL)			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>NOTE: Subgrantees may note that multiple indicators require the same evidence. The subgrantee does not need to provide multiple submissions of the same document, instead note the applicable indicator and document description in the naming convention (i.e. Fiscal 1.1,1.2.1.3 _ General Ledger).</b>			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.		
<b>Indicator 5: Audits/Reports</b>						
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 has a document retention policy which ensures that records, including expenditure data, are maintained in such a manner that documents supporting any transaction can be easily located and are maintained for at least 5 years.	2 CFR §§200.302(b)(3), 200.333 and 200.335	- Record retention policy			

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 subgrantees. The results of the IDEA portion of your subgrantees 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 subgrantee 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/>

The results included in the LEA Program Management and Administration 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 subgrantee 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 a subgrantee receives written notification of a finding of noncompliance through DC CATS, the LEA must first correct the individual student level noncompliance. Next, the subgrantee 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. OSSE has identified a few additional pieces of evidence needed for our review as indicated below. Otherwise all items must be submitted through DC CATS.

**IDEA: LEA PROGRAM MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
<b>Least Restrictive Environment (LRE) (LEA-level)</b>							
1 (DC CATS 1)	The subgrantee 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	- Special Education Handbook - Special Education Staff Roster				
<b>Individual Education Program (IEP) (LEA-level)</b>							
2 (DC CATS 2)	The subgrantee ensures that student IEPs are accessible to all who are responsible for their implementation (e.g., regular education teachers, special education teachers, and related service providers).	34 CFR §300.323(d)(1)	- Special Education Handbook				
<b>Data (LEA-level)</b>							
3 (DC CATS 3)	The subgrantee has made all documents related to the individual student file reviews accessible in SEDS.	34 CFR §300.211	- See DC CATS				
4 (DC CATS 4)	The subgrantee responds to requests for data in a timely manner.	34 CFR §300.211	- See DC CATS				

**IDEA: LEA PROGRAM MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
<b>Dispute Resolution (LEA-level)</b>							
5 (DC CATS 5)	The subgrantee provides information to OSSE regarding State complaints within 10 days of request.	OSSE State Complaint Policy	- See DC CATS				
6 (DC CATS 6)	The subgrantee timely implements corrective actions contained in the State complaint decision letter.	34 CFR §§300.600(a) and 300.200	- See DC CATS				
<b>National Instructional Materials Accessibility Standards (NIMAS) (LEA-level)</b>							
7 (DC CATS 7)	The subgrantee provides instructional materials to blind students or other students with print disabilities.	34 CFR §300.172	- See DC CATS				
<b>Equitable Services (LEA-level)</b>							
8 (DC CATS 11)	The subgrantee 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	The subgrantee must submit materials from quarterly meetings: - Presentations; - Meetings notes; - Sign in sheets; and - Notice of disagreement by stakeholders (if applicable).				
<b>STUDENT FILE REVIEW</b>							
<b>Initial Evaluation and Reevaluation (Student-level)</b>							
9 (DC CATS 12)	Upon initial referral, or parent request for evaluation, parents were provided procedural safeguards.	34 CFR §300.504(a)(1)	- See DC CATS				
10 (DC CATS 13)	The signature for parent consent was obtained prior to the initial evaluation.	34 CFR §300.300(a)	- See DC CATS				
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)	- See DC CATS				
12 (DC CATS 15)	The signature for parent consent was obtained prior to the date of reevaluation.	34 CFR §300.300(c)(1)	- See DC CATS				
13 (DC CATS 16)	A variety of sources were used to determine eligibility.	34 CFR §300.306(c)	- See DC CATS				

**IDEA: LEA PROGRAM MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
<b>Individualized Education Program (IEP) (Student-level)</b>							
14 (DC CATS 17)	Parent/student was invited to the most recent IEP meeting.	34 CFR §300.322(a)(1)	- See DC CATS				
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)	- See DC CATS				
<b>Individualized Education Program (IEP) (Student-level)</b>							
16 (DC CATS 19)	As evidence of parent participation, the individual who signed the IEP meets the definition of "parent" in 34 CFR §300.30.	34 CFR §300.30	- See DC CATS				
17 (DC CATS 20)	General education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)	- See DC CATS				
18 (DC CATS 21)	Special education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)	- See DC CATS				
19 (DC CATS 22)	The subgrantee designee, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)	- See DC CATS				
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)	- See DC CATS				
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>	<ul style="list-style-type: none"> <li>- Work samples</li> <li>- SEDS progress reports</li> <li>- Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments)</li> <li>- PARCC scores</li> <li>- Alt-MSA scores</li> </ul>			
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>	<ul style="list-style-type: none"> <li>- Work samples</li> <li>- SEDS progress reports</li> <li>- Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments)</li> <li>- PARCC scores</li> <li>- Alt-MSA scores</li> </ul>			

**IDEA: LEA PROGRAM MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				
<b>Individualized Education Program (IEP) (Student-level)</b>							
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				
25 (DC CATS 28)	File contains evidence that ESY was determined on an individual basis.	34 CFR §300.106(a)(2)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>	<ul style="list-style-type: none"> <li>- Work samples</li> <li>- SEDS progress reports</li> <li>- Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments)</li> <li>- PARCC scores</li> <li>- Alt-MSA scores</li> </ul>			
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>	<ul style="list-style-type: none"> <li>- Work samples</li> <li>- SEDS progress reports</li> <li>- Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments)</li> <li>- PARCC scores</li> <li>- Alt-MSA scores</li> </ul>			
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)	- See DC CATS				

**IDEA: LEA PROGRAM MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>	<ul style="list-style-type: none"> <li>- Work samples</li> <li>- SEDS progress reports</li> <li>- Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments)</li> <li>- PARCC scores</li> <li>- Alt-MSA scores</li> </ul>			
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				



**IDEA: LEA PROGRAM MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
<b>Individualized Education Program (IEP) (Student-level)</b>							
32 (DC CATS 35)	The IEP includes the projected date for the beginning of services and modifications, and the anticipated frequency, location, and duration of those services and modifications.	34 CFR §300.320(a)(7)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>	<ul style="list-style-type: none"> <li>- Work samples</li> <li>- SEDS progress reports</li> <li>- Benchmark Assessments (Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments)</li> <li>- PARCC scores</li> <li>- Alt-MSA scores</li> </ul>			
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)	- See DC CATS				
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)	- See DC CATS				
35 (DC CATS 37)	As soon as possible following development of the IEP, related services were made available to the student in accordance with his/her IEP.	34 CFR §300.323(c)(2)	- See DC CATS				
36 (DC CATS Other Findings)	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)	- See DC CATS				
<b>Individualized Education Program (IEP) (Student-level)</b>							
37 (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)	- See DC CATS	<ul style="list-style-type: none"> <li>- Work samples</li> <li>- SEDS progress reports</li> <li>- Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments)</li> <li>- PARCC scores</li> <li>- Alt-MSA scores</li> </ul>			
<b>Indicator 11: Least Restrictive Environment (LRE) (Student-level)</b>							
38 (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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				
39 (DC CATS 40)	The IEP contains an explanation of the extent, if any, to which the student will not participate with non disabled students in regular education.	34 CFR §300.320(a)(5)	- See DC CATS				

**IDEA: LEA PROGRAM MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				
41 (DC CATS 42)	The student's placement is based on his/her IEP.	34 CFR §300.116(b)(2)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				
<b>Indicator 12: Discipline (Student-level)</b>							
42 (DC CATS 43)	The parent, subgrantee, 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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				
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)	<ul style="list-style-type: none"> <li>- Schedules for students identified by OSSE monitor</li> <li>- Attendance records for students identified by OSSE monitor</li> <li>- Discipline records for students identified by OSSE monitor</li> <li>- Evidence required by DC CATS</li> </ul>				

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://dccats.spedsis.com/>

**IDEA: 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.		
<b>Indicator 1: IDEA-Specific Fiscal Requirements</b>						
1.1-F-IDEA	If applicable, the subgrantee procured, utilized, and charged construction expenses to its IDEA grants in a manner consistent with its approved application.	34 CFR §300.718	- IDEA Phase II application approval and applicable supporting documentation (On file at OSSE).	N/A		
1.2-F-IDEA	If applicable, the subgrantee utilized IDEA funds for providing Coordinated Early Intervening Services (CEIS) for appropriate uses.	34 CFR §§300.226 and 300.646	- On file at OSSE	- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		
1.3-F-IDEA	If applicable, the subgrantee properly tracked students who receive CEIS.	34 CFR §§300.226 and 300.646	- On file at OSSE			
1.4-F-IDEA	The subgrantee 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 subgrantee 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.	34 CFR §300.203(b)		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		

IDEA: 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 subgrantee 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.	34 CFR §300.203(a)	- On file at OSSE	N/A		
1.7-F-IDEA	If applicable to the subgrantee and if requested, the entity can provide evidence showing previous audit findings have been addressed.	2 CFR §200.501	- On file at OSSE	N/A		
1.8-F-IDEA	If applicable, the subgrantee 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 subgrantees. The results of the IDEA portion of your subgrantees most recent on-site monitoring visit will be 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 subgrantee 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/>

The results included in the LEA Program Management and Administration 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 subgrantee 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 a subgrantee receives written notification of a finding of noncompliance through DC CATS, the LEA must first correct the individual student level noncompliance. Next, the subgrantee 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. OSSE has identified a few additional pieces of evidence needed for our review as indicated below. Otherwise all items must be submitted through DC CATS.

**IDEA(PROGRAM CORRECTIONAL): LEA PROGRAM MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
<b>Least Restrictive Environment (LRE) (LEA-level)</b>							
1 (DC CATS 1)	The subgrantee 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	- Special Education Handbook - Special Education Staff Roster				
<b>Individual Education Program Subgrantee-level)</b>							
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)	- See DC CATS				
3 (DC CATS 3)	Youth attend the school at the facility (YSC, JYP 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)	- See DC CATS				
4 (DC CATS 4)	The subgrantee ensures that student IEPs are accessible to all who are responsible for their implementation (e.g., regular education teachers, special education teachers, and related service providers).	34 CFR §300.323(d)(1)	-Special Education Handbook				
<b>Data (LEA-level)</b>							
5 (DC CATS 5)	The subgrantee has made all documents related to the individual student file reviews accessible in SEDS.	34 CFR §300.211	- See DC CATS				
6 (DC CATS 6)	The subgrantee responds to requests for data in a timely manner.	34 CFR §300.211	- See DC CATS				

IDEA (PROGRAM CORRECTIONAL): LEA PROGRAM MANAGEMENT AND ADMINISTRATION							
Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
<b>Teacher Certification</b>							
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)	- Evidence that all special education staff hold the required certification - Teaching certificates				
<b>Dispute Resolution (LEA-level)</b>							
8 (DC CATS 8)	The subgrantee provides information to OSSE regarding State complaints within 10 days of request.	OSSE State Complaint Policy					
9 (DC CATS 9)	The subgrantee timely implements corrective actions contained in the State complaint decision letter.	34 CFR §§300.600(a) and 300.200	- See DC CATS				
<b>National Instructional Materials Accessibility Standards (NIMAS) (LEA-level)</b>							
10 (DC CATS 10)	The subgrantee provides instructional materials to blind students or other students with print disabilities.	34 CFR §300.172	- See DC CATS				
<b>STUDENT FILE REVIEW</b>							
<b>Initial Evaluation and Reevaluation</b>							
11 (DC CATS )	The student has gone through the initial evaluation or reevaluation process within the past three years.	34 CFR §303(a)(2)(b)(2)	- See DC CATS				
12 (DC CATS 12)	Upon initial referral, or parent request for evaluation, parents were provided procedural safeguards.	34 CFR §300.504(a)(1)	- See DC CATS				
13 (DC CATS 13)	The signature for parent consent was obtained prior to the initial evaluation.	34 CFR §300.300(a)	- See DC CATS				
14 (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)	- See DC CATS				
15 (DC CATS 15)	The signature for parent consent was obtained prior to the date of reevaluation.	34 CFR §300.300(c)(1)	- See DC CATS				
16 (DC CATS 16)	A variety of sources were used to determine eligibility.	34 CFR §300.306(c)	- See DC CATS				

IDEA (PROGRAM CORRECTIONAL): LEA PROGRAM MANAGEMENT AND ADMINISTRATION							
Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
<b>Individualized Education Program (IEP) (Student-level)</b>							
17 (DC CATS 17)	Parent/student was invited to the most recent IEP meeting.	34 CFR §300.322(a)(1)	- See DC CATS				
18 (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)	- See DC CATS				
19 (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	- See DC CATS				
20 (DC CATS 20)	General education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)	- See DC CATS				
21 (DC CATS 21)	Special education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)	- See DC CATS				
22 (DC CATS 22)	The subgrantee designee, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)	- See DC CATS				
23 (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)	- See DC CATS				
24 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS	- Work samples - SEDS progress reports - Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments) - PARCC scores - Alt-MSA scores			
25 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				

IDEA (PROGRAM CORRECTIONAL): LEA PROGRAM MANAGEMENT AND ADMINISTRATION							
Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
26 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				
27 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				
28 (DC CATS 28)	File contains evidence that ESY was determined on an individual basis.	34 CFR §300.106(a)(2)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				
29 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				
30 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS	- Work samples - SEDS progress reports - Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments) - PARCC scores - Alt-MSA scores			
31 (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)	- See DC CATS				
32 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS	- Work samples - SEDS progress reports - Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments) - PARCC scores - Alt-MSA scores			



IDEA (PROGRAM CORRECTIONAL): LEA PROGRAM MANAGEMENT AND ADMINISTRATION							
Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
33 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				
34 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				
35 (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)	- See DC CATS				
36 (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)	- See DC CATS				
37 (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)	- See DC CATS				
38 (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)	- See DC CATS				

IDEA(PROGRAM CORRECTIONAL): LEA PROGRAM MANAGEMENT AND ADMINISTRATION							
Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
39 (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)	- See DC CATS				
<b>Indicator 11: Least Restrictive Environment (LRE) (Student-level)</b>							
40 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				
41 (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)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				
42 (DC CATS 42)	The student's placement is based on his/her IEP.	34 CFR §300.116(b)(2)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor - Evidence required by DC CATS				
<b>Indicator 12: Discipline</b>							
43 (DC CATS 43)	The parent, subgrantee 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)	- See DC CATS				
44 (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)	- See DC CATS				

IDEA(PROGRAM CORRECTIONAL): LEA PROGRAM MANAGEMENT AND ADMINISTRATION							
Indicator	Guiding Statement	Citation	Evidence		Number of Student Level Findings	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.			
45 (DC CATS 45)	FAPE provided during suspension.	34 CFR §§300.101(a) and 300.530(d)	- Schedules for students identified by OSSE monitor - Attendance records for students identified by OSSE monitor - Discipline records for students identified by OSSE monitor				

TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 1. Title I Part A: Improving the Academic Achievement of the Disadvantaged: Standards, Assessment and Accountability</b>						
1.1	The subgrantee demonstrates that it has adopted challenging academic standards and complied with requirements for assessments.	ESEA §1111(b)	- On file with OSSE			
1.2	The subgrantee identifies languages other than English that are present to a significant extent in the participating student population.	ESSA §1111(b)(2)(F)(i)	- Evidence of annual Home Language Survey			
1.3	The subgrantee complies with the State's requirement of completing the Home Language Survey at initial enrollment to identify potential English learners (ELs).	ESEA §1111(b)(2)(G)	- Three signed and dated copies of the Home Language Survey received by the subgrantee			
1.4	The subgrantee ensures that all ELs are annually assessed to determine English language proficiency and that the assessments used are aligned with the State's English language proficiency standards.	ESEA §1111(b)	- Evidence that ELs participate in statewide and district assessments -Assessment policy and procedures			
<b>Indicator 2. Title I Part A: Improving the Academic Achievement of the Disadvantaged</b>						
2.1	The subgrantee's parental and family engagement policy (all LEAs) and School-Parent Compact (DCPS only) are developed with meaningful consultation with parents; the policy is updated, as needed; and parents and family members of children receiving services are involved in the decisions regarding how parental involvement funds are used for parental involvement activities.	ESEA §1116	- Dated subgrantee parent and family engagement policy for current year - Dated sample school-level parent family engagement policy for current year (for subgrantees with multiple school sites, provide 1-2 school level parent family engagement policy(ies)) - Dated School Parent Compact (DCPS only)	- Agendas, sign in sheets and meeting minutes documenting parents are involved in the development of the policy - Evidence that the subrecipient distributed information on the parental and family engagement policy to parents - Record of parent comments or input about use of funds for parental involvement, results of parent surveys - Translated documents, announcements, and fliers		
2.1(a)	The subgrantee reviews the effectiveness of the parental and family engagement policy.	ESEA §1116(a)(2)(D)		- Evidence that the subgrantee reviewed the policy and determined, if revisions were needed (e.g., agendas, sign-in sheets, meeting minutes, surveys, interviews, and policy revisions)		
2.1(b)	<b>(DCPS only)</b> The parental and family engagement policy demonstrates that the subgrantee and schools have carried out the six requirements to build parents' capacity to be involved in school:  - Provided assistance to parents of children in understanding such topics as the challenging State academic standards, State and local academic assessments, and how to monitor a child's progress and work with educators to improve the achievement of their children; - Provided materials and training to help parents to work with their children to improve their children's achievement, such as literacy training and using technology (including education about the harms of copyright piracy), as appropriate, to foster parental involvement; - Educated teachers, specialized instructional support personnel, principals, and other school leaders, and other staff, with the assistance of parents, in the value and utility of contributions of parents, and in how to reach out to, communicate with, and work with parents as equal partners, implement and coordinate parent programs, and build ties between parents and the school; - Coordinated and integrated parent involvement programs and activities with other federal, State, and local programs, including public preschool programs, and conduct other activities, such as parent resource centers, that encourage and support parents in more fully participating in the education of their children, to the extent feasible and possible; - Ensured that information related to school and parent programs, meetings, and other activities is sent to the parents of participating children in a format and, to the extent practicable, in a language the parents can understand; and - Provided such other reasonable support for parental involvement activities under this section as parents may request. - Other reasonable support (subgrantee supports parent requests for involvement).	ESEA §1116 (e)		Evidence of the following from the OSSE identified schools (schools will be identified at least four weeks prior to monitoring):  - Evidence of family engagement activities, including materials provided and sign-in sheets. - Sample of 3-5 parent-teacher communication logs - Evidence of teacher materials sent home to parents and families with strategies to support learning - Agendas, sign-in sheets and materials used to train principals and teachers in effective parent engagement strategies and raising expectations for how teachers engage parents for each OSSE school identified - Evidence of information provided on the subgrantee website detailing information on the state standards and assessments and information about Title I programs - Evidence of parent workshops provided by schools for parents focused on literacy, math, reading, homework help, and study skills for each OSSE school identified.		

TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (2015).			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(c)	The subgrantee 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:	ESEA §1116(c)(2)		<ul style="list-style-type: none"> <li>- Meeting notices</li> <li>- Documentation related to any funds used for parental involvement (transportation, child care, etc.)</li> <li>- Documentation of home visits, if applicable</li> <li>- Sign-in sheets</li> </ul>		
2.2	The subgrantee 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 §1112(e)(4)		<ul style="list-style-type: none"> <li>- Three samples of parent notification letters in the parent's native language</li> <li>- Proof of mailing</li> </ul>		
2.3	The subgrantee has implemented an effective means of outreach to inform parents of ELs of how they can be involved in the education of their children in the parent's native language and be active participants in assisting their children to learn.	ESEA §1112(e)(3)(C)(i)		<ul style="list-style-type: none"> <li>- Meeting/ training schedules</li> <li>- Examples of outreach communications</li> </ul>		
2.4	The subgrantee holds regular meetings and sends parents of ELs notices of such meetings for the purpose of formulating and responding to recommendations from parents.	ESEA §1112(e)(3)(C)(ii)		Copies of notices, in the parent's native language, notifying parents of meetings to respond to recommendations from parents		
2.5	Schoolwide Schools: The subgrantee ensures that schools develop and implement a compliant schoolwide plan under ESSA and use the schoolwide flexibility to improve the academic achievement of all students in the school.	ESEA §1114(b)		<p>Documentation that plan was developed in a one year period (unless otherwise exempted by the law) from the OSSE identified schools:</p> <ul style="list-style-type: none"> <li>- Agendas, sign-in sheets, notes, planning documents</li> <li>- Documentation that the plan was developed with the involvement of parents, other members of the community to be served, and individuals who will carry out the plan (teachers, principals, school leaders, etc.)</li> <li>- Schoolwide plan and revisions, agendas, sign-in sheets, meeting minutes</li> <li>- Documentation that the plan is available to subgrantee, parents, and public, and provided to parents in a language they can understand, and translated for stakeholders</li> <li>- Documentation of the coordination and integration of federal, State and local funds, if appropriate and applicable</li> <li>- Documentation that the plan is based on a comprehensive needs assessment of the entire school that takes into account information on the academic achievement of children in relation to challenging State academic standards</li> <li>- Plan includes a description of strategies school will be implemented to address school needs, and if programs are consolidated, the specific SEA and subgrantee programs and other federal programs that will be consolidated in the schoolwide program</li> </ul>		

TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (2015).			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.		
2.6	Targeted Assistance Schools: The subgrantee ensures that all targeted assistance schools develop and implement targeted assistance plans that meet all the ESSA required elements.	ESEA §1115		<ul style="list-style-type: none"> <li>- Description of how the subgrantee determines which students will be served</li> <li>- Documentation of multiple educationally related, objective criteria for eligible students at each grade level targeted, list of Title I teachers, targeted assistance school-level plans</li> <li>- Description of how eligible students will be served, which may include the following:                             <ul style="list-style-type: none"> <li>- Description of coordination with regular education program</li> <li>- Description of professional development provided to teachers, principals, school leaders, paraprofessionals, and other school personnel who work with eligible children in targeted assistance programs or in the regular education program</li> <li>- Documentation of implementation of strategies to increase parent involvement</li> <li>- Documentation of coordination and integration of federal, State, and local services and programs where appropriate and applicable</li> </ul> </li> </ul>		

TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (2015).			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	The subgrantee has a current approved Local Education Plan with all required components.	ESEA §1112	- On file at OSSE			
2.8	The subgrantee complies with required statutory set-asides for parental involvement (1%) for any subgrantee that receives \$500,000 in Title I funds, including the requirement that 90% of funds are distributed to schools.	ESEA §1116 (a)(3)(A)	- On file at OSSE			
2.9	Within subgrantee Allocation Procedures (DCPS only). Evidence that the subgrantee 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			
2.10	Compliance with Equitable Services to Nonpublic School Student's Requirements (DCPS only). The subgrantee must meet the requirements for Title I with regard to the plan, design, and implementation of services to eligible private school children, their teachers and their families.	ESEA §§1117 and 8501		- Consultation meeting documentation, agendas, sign-sheets, meeting minutes, and supplemental handouts - Signed affirmations of consultation - Program evaluation - Detailed services delivery plan - Private school handbook		
2.10(a)	The subgrantee conducted timely and meaningful consultation prior to making any decisions regarding the plan, design, and implementation of services to eligible private school children, their teachers, and their families.	ESEA §§1117(b) and 8501		- Consultation meeting documentation, agendas, sign-sheets, meeting minutes, and supplemental handouts - Signed affirmations of consultation - Notice of disagreement, if applicable - Detailed services delivery plan		
2.10(b)	The subgrantee complies with requirements for selecting children to receive equitable services.	ESEA §1117		- Rubric - Ranking eligibility data forms - Proportionality data of attendance - Sample email documentation - Completed tool used to rank and determine which students receive services - Sample student participation letter - List of participating schools		
2.10(c)	The subgrantee properly calculates poverty data.	ESEA §1117		- Sample of method used to calculate poverty data		
2.10(d)	The subgrantee ensures that service providers are employees of the subgrantee or employees of a third party contractor.	ESEA §1117		- Contracts for each service provider and employment agreements for equitable services, as appropriate. - Copies of documentation for ID Badges and for fingerprinting requirement - Documentation of required training - Documentation that required providers have completed child abuse training		

TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (2015).			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.		
2.10(e)	The subgrantee maintains documentation to show that all teachers and/or paraprofessionals employed by the subgrantee who provide services to private school children meet ESSA requirements.	ESEA §1117		Evidence that all teachers and/or paraprofessionals employed by the subgrantee who provide services to private school children meet the ESEA requirements including, but not limited to, the following: - Copies of certificates (degrees), as applicable - Evidence of training - Copy of written agreement		
2.10(f)	The subgrantee maintains documentation of evaluations for all programs serving private school students and modifies programs, as necessary.	ESEA §1117		- Evidence that the subgrantee evaluated all programs serving private school students - Evidence that the subgrantee made modifications to the monitoring process, observations, and providers' evaluation, as necessary - Monthly providers' reports, and copies of meeting minutes		
2.10(g)	The subgrantee properly maintains records for third party contracts and invoices from third party contractors.	34 CFR §76.730		- Copies of contracts for each service provider on file and copies of invoices representing each contractor.		
2.10(h)	The subgrantee maintains control of the Title I funds, materials, equipment and property that support services to private school children.	ESEA §1117; 34 CFR §76.651		Evidence that the subgrantee supervises and controls the Title I funds, materials, equipment and property that support services to private school children including, but not limited to, the following: - Inventory Listing - Program Equipment Assessment Form - Description of the oversight process - Record of reconciling workbook submissions with approved budget - Sample letters, invoices, and individual tracking		
2.10(i)	The subgrantee has policies and procedures to ensure Title I funded materials and equipment located at the private school (1) are used only for the purposes of the project; and (2) can be removed from the private school without remodeling the private school facility.	34 CFR §76.661		- List of equipment with tags, labels, inventory check list, and location. Applicable policies and procedures.		
2.10(j)	The subgrantee uses Title I, Part A services, materials, and equipment for secular, neutral, and non-ideological instruction only with Title I served students.	ESEA §1117(a)(2)		- 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		
2.10(k)	The subgrantee determines reserved funding for equitable services using a percentage of the total public and private school student enrollment (Title I only).	ESEA §1117		- Narrative description of formula used to determine amount of each reserve - Evidence of the methodology used for the equitable services calculation.		



TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (2015).			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.		
2.11	The subgrantee ensures that homeless students enrolled in non-Title I schools receive Title I services.	ESEA §1113(c) (3)(A)(i)	- List of homeless students attending private school and evidence that these students receive Title I support.			
<b>Indicator 3. General Grants Management Administration (Program)</b>						
3.1	A subgrantee 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 (e.g., website posting, student handbook, evidence of distribution at school meeting).		
3.2	A subgrantee maintains documentation that complaints were resolved.	2 CFR §200.331(d)		- If applicable, correspondence that complaints were resolved (e.g., email, letters)		

TITLE I, PART A: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<p><b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015.</b></p>			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.		
<b>Indicator 1: Specific Fiscal Requirements</b>						
1.1-F-TitleI	<b>Comparability:</b> Evidence that the subgrantee 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 ( <b>DCPS only</b> ).	ESSA §1118(c)(1)(A)	- On file at OSSE			
1.2-F-TitleI	Evidence that the subgrantee did not carry over more than the allowable 15% limit on carryover.	ESSA §1127(a)	- On file at OSSE			
1.3-F-TitleI	<b>Supplement Not Supplant (school-level expenditures):</b> The subgrantee, as applicable, can demonstrate that its written methodology ensures that all state/local funding is distributed to schools regardless of whether schools receive Title I funding.  For additional guidance, see: <a href="https://osse.dc.gov/sites/default/files/dc/sites/osse/page_content/attachments/ESSA%20Title%20I%20Supplement%20Not%20Supplant%20_OSSE%20Guidance%20for%20LEAs.pdf">https://osse.dc.gov/sites/default/files/dc/sites/osse/page_content/attachments/ESSA%20Title%20I%20Supplement%20Not%20Supplant%20_OSSE%20Guidance%20for%20LEAs.pdf</a> .	ESSA §1118(b)(2)	Either: 1) ESSA test- Written methodology demonstrating a neutral allocation of state/local resources to all schools within the District. Sample documents demonstrating actual school-level allocation of funding to Title I and non-Title I schools that align with the written methodology. B) Three NCLB tests, proving that each individual Title I cost in a 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, visit: <a href="https://osse.dc.gov/publication/eSEA-title-i-schoolwide-guidance">https://osse.dc.gov/publication/eSEA-title-i-schoolwide-guidance</a>			
1.4-F-TitleI	<b>Supplement Not Supplant (LEA-level expenditures):</b> The subgrantee can demonstrate that all LEA-level expenditures are allocated on a neutral basis to all schools regardless of their Title I status and without taking into account school-level Title I funding.  For additional guidance, see: <a href="https://osse.dc.gov/sites/default/files/dc/sites/osse/page_content/attachments/ESSA%20Title%20I%20Supplement%20Not%20Supplant%20_OSSE%20Guidance%20for%20LEAs.pdf">https://osse.dc.gov/sites/default/files/dc/sites/osse/page_content/attachments/ESSA%20Title%20I%20Supplement%20Not%20Supplant%20_OSSE%20Guidance%20for%20LEAs.pdf</a> .	ESSA §1118(b)(2)	Either: 1) ESSA test- Written methodology demonstrating a neutral allocation of LEA-level expenditures to schools within the LEA, regardless of each school's Title I status. Sample evidence of LEA-level initiatives, state/local expenditures, and other supporting documentation. 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 LEA-level spending, see pp. 37-41 of the U.S. Department of Education's (USED's) 2008 Fiscal Guidance at <a href="http://www2.ed.gov/programs/titleiparta/fiscalguid.doc">http://www2.ed.gov/programs/titleiparta/fiscalguid.doc</a>			

TITLE I, PART A: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<p><b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015.</b></p>			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.		
1.5-F-TitleI	The subgrantee can demonstrate that funds for the current grant period were obligated within the period of availability.	34 CFR §§76.707-76.710, 2 CFR §§200.77, 200.309		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		
1.6-F-TitleI	The subgrantee can demonstrate that grant expenditures were necessary, reasonable, allocable, and only for authorized purposes.	2 CFR §§200.403 - 200.405		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		
1.7-F-TitleI	<b>Schoolwide Schools:</b> The subgrantee can demonstrate that school-level expenditures are aligned to a school's schoolwide plan.	ESSA §1114(b)		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		
1.8-F-TitleI	<b>Targeted Assistance Schools:</b> The subgrantee can demonstrate that school-level expenditures are aligned to a school's targeted assistance plan, as applicable, and that Title I-funded services are only provided to identified Title I students, teachers and parents.	ESSA §1115(b)		- Subgrantee source documentation to support OSSE's expenditure sample requests such as invoices, receipts, contracts		

TITLE I, PART D: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 1. Improving the Academic Achievement: Academic Standards and Accountability</b>						
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); and 1414(c)(4)	- Curriculum - Lesson plans - 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)	<u>Mandatory</u> - School/student schedule(s)  <u>Optional</u> - Roster of students - Student(s) attendance records			
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)	- Student Assessment Policy - Initial assessment(s) - Assessment of Educational Needs			
1.5	S/PA works with children or youth with disabilities in order to 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)	- Memorandum of Agreement (on file at OSSE) - Independent Learning Plan (ILP) Process			
1.6	S/PA works with children and youth, 18 years of age or younger, who dropped out of school before entering the institution that receives Title I, Part D funding to ensure that children and youth re-enter school and works towards a high school diploma 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 attain a regular high school diploma or its recognized equivalent if the child or youth does not intend to return to school.	ESEA §1414(c)(16); D.C. Code 38-202	- APEX Support Plan (Credit Recovery) - Evidence of college and career program(ming) - Evidence that S/PA ensures that student re-enters school and works towards a high school diploma or its recognized equivalent			

TITLE I, PART D: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 2. Parental Involvement</b>						
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)	- Letters to parents - Evidence of family meeting(s) and sign in sheets - Family engagement activities - Parent communication log			
<b>Indicator 3. General Grants Management Administration</b>						
3.1	S/PA used the results of the most recent evaluation under Section 8601 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 the Workforce Innovation and Opportunity Act, vocational and technical education programs, State and local dropout prevention programs, and special education programs).	ESEA §1414(c)(8)	- Meeting agenda - Schedule or calendar of meetings with other entities - Sign-in sheet			
3.3	S/PA ensures that policies and procedures related to ensuring the privacy of student data collected for education records which adhere to federal requirements are in place.	34 CFR Part 99; 20 USC 1232g(b)(1)(B); FERPA	- DYRS privacy policy regarding student education records			
<b>Indicator 4. Transition Services</b>						
4.1	S/PA coordinates with businesses for training and mentoring for participating children and youth.	ESEA §1414(c)(12)	- Statement(s) of work - Agreements - Communication to businesses - Mentoring programs			
4.2	For students 18 and older, the 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); D.C. Code 38-202	- Transition policy - Student roster - 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)	- Discharge process; - Education related procedures for transitioning students.			

TITLE I, PART D: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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 regular high 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)			
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			
<b>Indicator 5. Staff and Professional Development</b>						
5.1	Certified or licensed 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 - List of teachers			
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 - Training certificates, where applicable			
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 - Job description			
5.4	S/PA consults 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.			

**TITLE I, PART D: FISCAL MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).</b>			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.		
<b>Indicator 1: Fiscal Management</b>						
1.1-F-Title I-D	S/PA can provide a copy of the single audit for the monitoring period being reviewed.	2 CFR §200.501	- Single Audit			
1.2-F-Title I-D	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-F-Title I-D	S/PA can demonstrate internal fiscal controls to account for uses of funds in a way that meets federal requirements.	2 CFR §200.303	- Subgrantee financial policies and procedures			
1.4-F-Title I-D	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			
<b>Indicator 2: Procurement</b>						
2.1-F-Title I-D	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)	- Subgrantee financial policies and procedures			
2.2-F-Title I-D	S/PA can provide evidence showing purchasing practices and policies are in writing.	2 CFR §200.318(a)	- Subgrantee financial policies and procedures			
2.3-F-Title I-D	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)	- Subgrantee financial policies and procedures			
2.4-F-Title I-D	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			

**TITLE I, PART D: FISCAL MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
<b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).</b>			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.	
<b>Indicator 3: Financial Management</b>					
3.1-F-Title I-D	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-F-Title I-D	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-F-Title I-D	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.	2 CFR §§200.302, 200.303 and 200.318	- Subgrantee financial policies and procedures		
3.4-F-Title I-D	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		
<b>Indicator 4: General Accounting Practices</b>					
4.1-F-Title I-D	S/PA can show evidence which demonstrates that accounting policies and procedures manual are accessible, up-to-date and in use.	2 CFR §200.302	- Subgrantee financial policies and procedures		
4.2-F-Title I-D	S/PA can provide evidence of financial operations and procedures which demonstrate adherence to the requirement to segregate duties.	2 CFR §§200.302 and 200.303	- Subgrantee financial policies and procedures		
4.3-F-Title I-D	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-F-Title I-D	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-F-Title I-D	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.	2 CFR §200.333	- Record Retention Policy		



**TITLE I, PART D: FISCAL MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks	
<b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).</b>			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.		
<b>Indicator 5: Equipment Management Controls</b>						
5.1-F-Title I-D	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-F-Title I-D	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.	2 CFR §200.313(d)(1); 2 CFR §§200.403 - 405	- Equipment Inventory List			

TITLE II, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015.			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.		
<b>Indicator 1. Title II Part A: Improving Teacher Quality</b>						
1.1	The subgrantee has a current approved Local Education Plan with all required components.	ESEA §2102(b)	- On file at OSSE			
<b>Indicator 2. General Grants Management Administration (Program)</b>						
2.1	The subgrantee provides for the equitable participation of private school teachers and other educational personnel in private schools and engages in timely meaningful consultation with private school officials during the design and development of Title II programs (DCPS only).	ESEA §§2102(b)(2)(E); 8501(a)		- Consultation meeting agendas - Sign-in sheets - Meeting minutes - Supplemental handouts - Detailed service delivery plan		
2.2	The subgrantee develops systems of professional growth and improvement, such as induction for teachers, principals, or other school leaders and opportunities for building capacity of teachers and opportunities to develop meaningful teacher leadership.	ESEA §2102(b)(2)(B)		- Agendas - Sign- sheets - Documentation that meetings occurred (e.g., minutes, presentation materials) - Training materials - Calendar of professional development activities that improve and increase teachers' knowledge of the academic subjects teachers teach.		
2.3	The subgrantee meaningfully consults with teachers, principals and other school leaders, paraprofessionals (including organizations representing such individuals), specialized instructional support personnel, charter school leaders, parents, community partners, and other organizations or partners with relevant and demonstrated expertise in programs and activities designed to meet the statutory purpose of Title II, Part A.	ESEA §2102(b)(3)(A)		- Agendas - Sign-in sheets - Sample surveys or evaluations - Presentation materials		
2.4	The subgrantee uses data and ongoing consultation to continually update and improve activities supported under this part.	ESEA §2102(b)(2)(D)		- Evidence that data was reviewed to continually update and improve activities		

TITLE II, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015.			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.		
2.5	Title II, Part A activities shall address the learning needs of all students, including children with disabilities, English learners, and gifted and talented students.	ESEA §2103(b)(2)		- PD Calendar		

TITLE II, PART A: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 1: Specific Fiscal Requirements</b>						
1.1-F-TitleII	The subgrantee can demonstrate that funds for the current grant period were obligated within the period of availability.	34 CFR §§76.707-76.710, 2 CFR §§200.77 and 200.309		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		
1.2-F-TitleII	The subgrantee can demonstrate that grant expenditures were necessary, reasonable, allocable, and only for authorized purposes.	2 CFR §§200.403 - 200.405		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		
1.3-F-TitleII	The subgrantee can demonstrate that Title II, Part A funds were used for allowable program purposes.	2 CFR §200.403		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		
1.4-F-TitleII	<b>Supplement Not Supplant:</b> The subgrantee ensures that funds made available under this title shall be used to supplement, and not supplant, non-federal funds that would otherwise be used for activities authorized under this title (in alignment with OSSE's guidance on supplement not supplant requirements). For additional guidance, please see <a href="https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/OSSE%20Federal%20Grants%20Toolkit%20Aug.%202018%2C%202017.pdf">https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/OSSE%20Federal%20Grants%20Toolkit%20Aug.%202018%2C%202017.pdf</a> .	ESEA §2301		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices or budgets demonstrating use of non-federal funds		
1.5-F-TitleII	Evidence that the subgrantee demonstrated that the level of State and local funding remains constant from year to year (Maintenance of Effort reporting requirement) (DCPS only).	ESEA §8521	- On file at OSSE			

TITLE II, PART A: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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-TitleII	If applicable to the subgrantee, and if requested, the subgrantee can provide evidence showing previous audit findings have been addressed.	2 CFR §200.501	- Evidence that the subgrantee resolved audit findings (if applicable)			

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.	
<b>Indicator 1. Identification, Placement and Program Exit: Subgrantees must identify and place English learners (ELs) in appropriate programs.</b>					
1.1	The subgrantee 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 §1112(e)(3)	Evidence of the following from the OSSE identified schools: -Samples of parent notification letters including all required elements listed in ESEA §1112(e)(3) -Evidence of having sent letters to parents, including evidence of mailing		
<b>Indicator 2. Appropriate Programs: Subgrantees must implement high-quality language instruction educational programs for ELs and evaluate their effectiveness.</b>					
2.1	The subgrantee has a comprehensive written EL plan of services, in place.	ESEA §§3116	- On file at OSSE		
2.2	The subgrantee implements the program/project in accordance with the subgrantee's approved application.	ESEA §3116 and 2 CFR §200.33(d)	-Documentation that the subgrantee EL-identified activities are aligned with approved application (e.g., curriculum documents, meeting agendas, meeting minutes, academic progress data)		
2.3	The programs and activities are evaluated to determine effectiveness (the evaluation must be conducted every two years).	ESEA §3121 (a) - (b)	-Minutes from data retreats/meetings -Written evaluations -Evidence of necessary adjustments made to the program		
2.4	Elementary and/or secondary school language instruction educational programs for ELs are coordinated with other relevant programs and services.	ESEA §3115(d)(4)	-Evidence the subgrantee coordinated EL instruction with other relevant programs and services (e.g., curriculum materials, evidence of lesson planning, professional development, team planning documents.)		
2.5	If applicable, the subgrantee has implemented specific programs for immigrant children and youth.	ESEA §3115(e)	- Documentation of program implementation of activities (i.e., progress notes, tutoring minutes, invoice payments, sign-in sheets), which may include:  - family literacy, parent and family outreach, and training activities designed to assist parents and families to become active participants in the education of their children; - recruitment of, and support for, personnel, including teachers and paraprofessionals who have been specifically trained, or are being trained, to provide services to immigrant children and youth; - provision of tutorials, mentoring, and academic or career counseling for immigrant children and youth; - identification, development, and acquisition of curricular materials, educational software, and technologies used in the program carried out with awarded funds; - basic instructional services that are directly attributable to the presence of immigrant children and youth; --(F) other instructional services that are designed to assist immigrant children and youth to achieve in elementary schools and secondary schools; --(G) activities, coordinated with community-based organizations, institutions of higher education, private sector entities, or other entities with expertise in working with immigrants, to assist parents and families of immigrant children and youth by offering comprehensive community services.		

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 3. Appropriate Staffing and Professional Development</b>						
3.1	The subgrantee assures that all teachers in any language instruction program for ELs are fluent in English and in any other language used for instruction, including having written and oral communication skills.	ESEA §3116(c)	-Description and documentation related to the subgrantee's teacher hiring process.			
3.2	The subgrantee provided professional development that is aligned with § 3115(c)(2).	ESEA §3115(c)(2)	-PD Calendar -Agendas from trainings -Sign-in sheets from trainings -Training materials			

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 4. Parent Involvement: Subgrantees must involve parents and community in the planning, development and implementation of the language instruction education program.</b>						
4.1	The subgrantee has implemented an effective means of outreach to inform parents of ELs of how they can be involved in the education of their children and be active participants in assisting their children learn.	ESEA §1112(e)(3)(C)(i)		- Meeting/training schedules for parent activities - Examples of parent communications - Process/plan for communicating to parents on how they access the EL program, be involved in their child's education, and be active participants in their child's learning.		
4.2	The subgrantee holds regular meetings with parents of ELs for the purpose of responding to their recommendations.	ESEA §1112(e)(3)(C)(ii)	-Copies of notices sent to parents asking for parents' input and responding to it or promotional materials -Dated presentation materials -Agendas -Sign-in sheets -Meeting minutes			
4.3	The subgrantee promotes parental and community participation in the planning, development, and implementation of the parent involvement program and programs for ELs.	ESEA §3116(b)(3)	-Dated presentation materials -Agendas -Sign-in sheets -Meeting minutes			



TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 5. English Language Proficiency (ELP) Standards</b>						
5.1	The subgrantee assists ELs in meeting the challenging WIDA English Language Proficiency Standards.	ESEA §3116(b)	Evidence of professional development on English Language Proficiency standards, including: -Agendas			
<b>Indicator 6. Assessments: subgrantees must adhere to state and federal assessment requirements.</b>						
6.1	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)	-Templates of student enrollment documents			

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 7. Non-Public School Participation in Language Instruction Education Program: The subgrantee must include non-public school participation in language instruction education programs. (DCPS Only)</b>						
7.1	The subgrantee has consulted with non-public schools to identify English learners that are located in the geographic area served by the subgrantee.	ESEA §8501(c)	<ul style="list-style-type: none"> <li>-A description of the consultation process</li> <li>-A timeline of district-initiated consultation with non-public schools</li> <li>-Copies of meeting agendas</li> <li>-Letters of intent to participate, if applicable</li> <li>-Affirmation of consultation with non-public school officials including student selection criteria</li> </ul>			
7.2	The subgrantee has consulted with appropriate non-public school officials during the design and development of the Title III program.	ESEA §8501(c)(3)	<ol style="list-style-type: none"> <li>1. Evidence of process for providing technical assistance to nonpublic schools on how to:                             <ul style="list-style-type: none"> <li>- Identify English learners</li> <li>- Determine size and scope of services</li> <li>- Administer English language proficiency assessments and statewide assessments with accommodations</li> </ul> </li> <li>2. Written communication with non-public schools regarding providing equitable services to eligible students</li> <li>3. Description of the consultation process</li> <li>4. Evidence of assessment of non-public students and evaluation of effectiveness of services</li> <li>5. Documentation of how non-public students are identified</li> <li>6. Documentation of how teachers' needs were identified</li> </ol>			
7.3	The subgrantee ensures equitable participation by non-public students in a Title III program.	ESEA §8501(a)	<ul style="list-style-type: none"> <li>-Program description</li> <li>-Sample schedules of nonpublic students</li> </ul>			

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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 subgrantee complies with requirements of equitable services to nonpublic schools including but not limited to timely implementation, evaluation, and program monitoring.	ESEA §8501		<p>1. Affirmations of consultation signed by officials of each participating private school confirming that meaningful consultation occurred. Such written affirmations shall include the option for private school officials to indicate that timely and meaningful consultation has not occurred or that the program design is not equitable with respect to eligible private school children.</p> <p>2. Documentation that all teachers and/or paraprofessionals employed by the subgrantee who provide services to private school children meet the state licensure and certification requirements (if applicable) such as:</p> <ul style="list-style-type: none"> <li>- Copies of certificates (degrees)</li> <li>- Evidence of reported training</li> <li>- Copy of written agreement</li> </ul> <p>3. Documentation of an evaluation for all programs serving private school students and that modifications are made, as necessary such as:</p> <ul style="list-style-type: none"> <li>- Monitoring process, observations, and providers' evaluation</li> <li>- Monthly providers' reports, and copies of meeting minutes</li> </ul> <p>4. Policies and procedures to ensure the maintenance of record for third party contract(s) and invoices from the third party contractor such as:</p> <ul style="list-style-type: none"> <li>- Copies of contracts for each service provider on file</li> <li>- Copies of invoices representing each contractor</li> </ul>		

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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>5. Documentation that the subgrantee regularly supervises the provision of Title III services to private school children such as:</p> <ul style="list-style-type: none"> <li>- Description of monitoring process</li> <li>- Copies of observations through on-site visits</li> <li>- Copies of providers' evaluations</li> <li>- Copies of monthly providers' reports, and meeting minutes</li> </ul> <p>6. subgrantee maintains control of the Title III funds, materials, equipment and property that support services to private school children such as:</p> <ul style="list-style-type: none"> <li>- Inventory check list</li> <li>- Title III Program Equipment Assessment Form</li> <li>- Allocations documentation</li> <li>- Record for tracking subgrantee expenditures through reimbursement process (e.g., workbook submissions)</li> <li>- Sample letters, invoices, and individual tracking</li> </ul> <p>7. If applicable, policies and procedures to ensure Title III funded materials and equipment located at the private school are properly labeled such as:</p> <ul style="list-style-type: none"> <li>- List of equipment with tags, labels, inventory check list, and location</li> </ul>		
7.4 CONTINUED	CONTINUED	CONTINUED	CONTINUED	<p>8. Evidence of awareness of SEA-complaint procedures for private school officials such as:</p> <ul style="list-style-type: none"> <li>- SEA-complaint procedures stated in DCPS Equitable Services Handbook</li> <li>- Documentation that procedures are disseminated yearly at the citywide consultation</li> </ul> <p>9. Evidence that services, materials, and equipment are used for secular, neutral, and non-ideological instruction only with Title III served students</p> <p>10. Nonpublic school components of Title III are administered by, and under the control of, the subgrantee such as:</p> <ul style="list-style-type: none"> <li>- Meetings with private school officials (e.g., agenda, sign-in sheets)</li> <li>- Subgrantee personnel records show hiring of personnel for the nonpublic school Title III program</li> <li>- Documentation of payments for contracts or services</li> <li>- Documentation of regular visits by the subgrantee</li> </ul>		

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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	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 the following:  - Narrative description of formula used to determine amount of reserve - Evidence of the methodology used for the equitable services calculation		
<b>8. Data Collection Systems</b>						
8.1	If applicable, for Title III Immigrant Children and Youth programs, the subgrantee 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			
		Met Requirements			0	

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
		Recommendation			0	

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
		Finding of Noncompliance			0	

TITLE III: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 1. District Allocation</b>						
1.1-F-TitleIII	The eligible entity has reserved not more than two percent of its allocation for the administration of the Title III program.	ESEA §3115(b)	-On file at OSSE			
1.2 -F-TitleIII	The subgrantee uses funds only for required and authorized activities.	ESEA §3115(c)-(d)	-Subgrantee source documentation to support OSSE's expenditure sample request such as such as invoices, receipts, contracts			
<b>Indicator 2. Maintenance of Effort</b>						
2.1-F-TitleIII	The subgrantee complies with the maintenance of effort fiscal requirement.	ESEA §8521	-On file at OSSE	- On file at OSSE		
<b>Indicator 3. Supplement Not Supplant</b>						
3.1-F-TitleIII	The subgrantee ensures that federal funds made available under this subpart shall be used so as to supplement the level of federal, State and local public funds that, in the absence of such availability, would have been expended for programs for ELs and immigrant children and youth and in no case to supplant such federal, State, and local public funds. For additional guidance, please see <a href="https://osse.dc.gov/node/1267731">https://osse.dc.gov/node/1267731</a> .	ESEA §3115(g)	-Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, budgets demonstrating use of state, local and other federal funds.	N/A		



SOAR: PROGRAM MANAGEMENT AND ADMINISTRATION						
Activity	Program Agreement Activity	Citation	Evidence		Determination	Remarks
<b>Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored. Sample program goals and reporting deliverable included below.</b>			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.		
<b>Project Goal 1: Improved Student Academic Outcomes in Math and ELA as assessed by the 2015 DC CAS</b>						
<b>Objective 1.0: 1) Institute tiered interventions that are based on data that offer specific strand intervention.</b>						
<b>Reporting Period 1: February 21st -August 20th</b>						
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				
<b>Reporting Period 2: August 21st -February 20th</b>						
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				
<b>Reporting Period 3: February 21st -August 20th</b>						
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 DCCAS.	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				
<b>Reporting Period 4: August 21st -February 20th</b>						
1.11	Sustain mathematics growth for student proficiency in all classrooms at 70% as measured by interim assessments.	2 CFR §200.328				

SOAR: PROGRAM MANAGEMENT AND ADMINISTRATION						
Activity	Program Agreement Activity	Citation	Evidence		Determination	Remarks
<b>Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored. Sample program goals and reporting deliverable included below.</b>			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.		
1.12	Sustain growth for student proficiency for SPED students in all classrooms at 50% as measured by interim assessments.	2 CFR §200.328				
<b>Project Goal 2: Develop Teacher Quality through structured professional development and hiring practices.</b>						
<b>Objective 2.0:1) Train teachers in Common Core strategies and ELL/SPED best practices</b>						
<b>Reporting Period 1: February 21st -August 20th</b>						
2.1	Hire new staff.	2 CFR §200.328				
2.2	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				
<b>Reporting Period 2: August 21st -February 20th</b>						
2.3	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				
<b>Reporting Period 3: February 21st -August 20th</b>						
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				

SOAR: PROGRAM MANAGEMENT AND ADMINISTRATION						
Activity	Program Agreement Activity	Citation	Evidence		Determination	Remarks
<b>Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored. Sample program goals and reporting deliverable included below.</b>			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.		
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				

SCHOOL IMPROVEMENT GRANT: 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.		
<b>Indicator 1. General Compliance: The subgrantee ensures that the School Improvement Grant (SIG) intervention models are in compliance with the final requirements of the SIG program.</b>						
<b>1. General (Compliance)</b>						
1.1	The subgrantee 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: - Announcement of the Request for Proposals (RFP) - RFP documents - Sample score sheets from vendor review process		
1.2	The subgrantee 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: - Written policies/procedures demonstrating modified practices; and - Written notices to staff with updates on policies/procedures.		
1.3	The subgrantee 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 subgrantee can provide evidence that district-level activities conducted with SIG funds are specifically supporting SIG schools.	2 CFR §200.328	-Source documentation to support expenditure sample requests			
<b>Indicator 2. Implementation: The subgrantee ensures that the SIG intervention models are being implemented consistent with the final requirements of the SIG program.</b>						
<b>2.1 Intervention Model Specifics (Indicators for Turnaround Model only)</b>						
2.1.1	Where applicable, the subgrantee replaced the principal and hired back no more than 50% of the school's staff from the previous year or within the past two school years, using specific procedures and processes for screening staff.	SIG Guidance: B-1. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(1).	- List of staff (including hiring dates) who were hired or rehired as part of the turnaround model and those who did not return	Documentation such as: - Interview protocol for staff selection - Any written criteria for screening/hiring new/returning staff		
2.1.2	The subgrantee 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		
2.1.3	The subgrantee implemented strategies such 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 strategies such as: - Notices to teachers regarding examples of activities mentioned in Indicator 2.1.2 - Examples of teacher participation in those activities about which teachers were notified - see above			

SCHOOL IMPROVEMENT GRANT: 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 subgrantee 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: - Sign-in sheets, with dates, title of PD, etc. - PowerPoint presentations used during PD - PD Agendas			
2.1.5	The subgrantee granted new authority to the principals of the school implementing a turnaround model and adopted a new governance structure, which includes, but is not limited to, requiring the school to report to a new "turnaround office" in the subgrantee, 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(2) and (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"	- Documentation describing new authority that the principal has with regards to SIG and specifically staffing, calendars, scheduling, and budgeting		
2.1.6	The subgrantee 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			
2.1.7	The subgrantee 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: - Sample of a student data report that was used to differentiate instruction (redacted)		
2.1.8	The subgrantee 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: School calendar/schedule demonstrating increased learning time			

SCHOOL IMPROVEMENT GRANT: 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.		
2.1.9	The subgrantee 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			
<b>2.2 Intervention Model Specifics (Indicators for Transformation Model only)</b>						
2.2.1	Where applicable, the subgrantee replaced the principal and implemented procedures and processes to recruit, place, and retain staff with the necessary skills to implement the transformation model.	SIG Guidance: E-2. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (d)(1)(i)(A), (d)(1)(i)(E).	- Job announcements for positions with SIG schools			
2.2.2	The subgrantee 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 (d)(1)(i)(B).	Documentation of PD such as: - Sign in sheets, with dates, title of PD, etc. - PowerPoint presentations used during PD - PD Agendas			
2.2.3	The subgrantee 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 (d)(2).	Documentation of instructional reform strategies such as: - Strategic plan as it relates to instructional reform strategies - Meeting minutes that address the implementation of the reform strategies - Presentations regarding the implementation of reform strategies			
2.2.4	The subgrantee 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 (d)(3).	Documentation of community outreach such as: - Flyers/notices to parents/students of meetings, events, etc. - 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			

SCHOOL IMPROVEMENT GRANT: 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	The subgrantee 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 (d)(1)(i)(E).	Documentation of subgrantee sustained support such as: - Calendar of meetings between subgrantee and school-site - Meeting notes, agendas, and sign-in sheets from meetings between subgrantee and school-site  Documentation of subgrantee 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 subgrantee			
2.2.6	The subgrantee 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 (d)(1)(i)(E).	Documentation of implementation of such strategies such as: - Notices to teachers regarding examples of actions mentioned in indicator 2.2.5 - Examples of teacher participation in those activities about which teachers were notified (see above)			
2.2.7	The subgrantee 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 (d)(2)(i).	Documentation of data use such as: - Sample of a data report used to inform instructional program			
2.2.8	The subgrantee 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, E-16. Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (a)(1)(i)(B).		Documentation such as: - Sample of student data report that was used to differentiate instruction (redacted)		
2.2.9	The subgrantee 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 the school reform strategies.	SIG Guidance: E-7(3). Federal Register: Section I. SEA Priorities in Awarding School Improvement Grants A. 2, Strongest Commitment (d)(1)(i)(D).	Documentation of PD such as: - Sign in sheets, with dates, title of PD, etc. - PowerPoint presentations used during PD - PD Agendas			

SCHOOL IMPROVEMENT GRANT: 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.		
<b>2.3 Intervention Model Specifics (Indicators for Evidence-Based Whole School Reform only)</b>						
2.3.1	The subgrantee 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: - 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 subgrantee 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			
2.3.3	The subgrantee 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 subgrantee such as: - Agendas/minutes for meetings between subgrantee and school leadership - Sign-in sheets for meetings between subgrantee and school leadership - Schedule/calendar of meetings held between subgrantee and school leadership			
2.3.4	The subgrantee 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: - Sign-in sheets, with dates, title of PD, etc. - PowerPoint presentations used during PD - PD Agendas			
2.3.5	The subgrantee 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: - Sign-in sheets, with dates, title of PD, etc. - PowerPoint presentations used during PD - PD Agendas			
2.3.6	The subgrantee 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: - Flyers/notices to families/students, community members of meetings, events, etc. - Sign-in sheets from family meetings/community events - Agendas for family/community meetings - Meeting minutes from family/community meetings			



SCHOOL IMPROVEMENT GRANT: 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.		
2.3.7	The subgrantee 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			
<b>Indicator 3. Technical Assistance: The subgrantee ensures that technical assistance is provided to its subgrantee consistent with the final requirements of the SIG program.</b>						
3.1	If applicable, the subgrantee 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 subgrantee/school engagement such as: - Agendas/minutes for meetings between subgrantee and school staff - Sign-in sheets for meetings between subgrantee and school staff - Schedule/calendar of meetings held between subgrantee and school staff			
<b>Indicator 4. Monitoring: The subgrantee ensures that monitoring of LEAs and schools is being conducted consistent with the final requirements of the SIG program.</b>						
4.1	The subgrantee 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 subgrantee monitoring of schools such as: - Walk-through reports - Observation reports - Agendas/minutes/sign-in sheets for meetings between subgrantee/school staff			
<b>Indicator 5. Data Collection: The SEA ensures that data is being collected consistent with the final requirements of the SIG program (If applicable)</b>						
5.1	The subgrantee 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	The subgrantee 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)		

**SCHOOL IMPROVEMENT GRANT: 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.		
<b>Indicator 1: School Improvement Grant (SIG) Specific Fiscal Requirements</b>						
1.1-F-SIG	If applicable to the subgrantee and if requested, the entity can provide evidence showing previous audit findings have been addressed.	2 CFR §200.501	-On file at OSSE			
1.2-F-SIG	The subgrantee is ensuring that a school being served with SIG funds is still receiving all the funds it would have received without the SIG award.	ESEA §§ 1113; 1120A(c)	- Comparability reports - Documentation of Title I ranking and allocation.	N/A		
1.3-F-SIG	The subgrantee can demonstrate that funds for the current grant period were obligated within the period of availability.	34 CFR §§76.707-76.710 and 2 CFR §§200.77, 200.309		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts.		
1.4-F-SIG	The subgrantee can demonstrate that grant expenditures were necessary, reasonable, allocable, and only for authorized purposes to SIG eligible schools.	ESEA §1003(g); 2 CFR §§200.403 - 200.405		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts.		

TITLE I, PART A (1003): PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.</b>			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.		
<b>Indicator 1: (Priority Schools only) Priority schools implemented their chosen strategies</b>						
1.1	The subgrantee ensured that the Priority school effectively implemented its chosen strategy as described in its approved application.	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).				
1.2	The subgrantee tracked the Priority school's progress of implementing each chosen strategy.	See above				
1.3	The subgrantee used data to track the Priority school's progress in implementing the strategy.	See above				
1.4	The Priority school created a school improvement plan which addresses the reason it is in this classification.	See above				
<b>Indicator 2: (Focus Schools only) Focus schools implemented their chosen strategies</b>						
2.1	The subgrantee ensured that the Focus school effectively implemented its chosen strategy as described in its approved application.	See above				
2.2	The subgrantee tracked the Focus school's progress of implementing each chosen strategy.	See above				
2.3	The subgrantee used data to track the Focus school's progress in implementing the strategy.	See above				
2.4	The Focus school created a school improvement plan which addresses the reason it is in this classification.	See above				

**TITLE I, PART A(1003): FISCAL MANAGEMENT AND ADMINISTRATION**

Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
<b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).</b>			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.	
<b>Indicator 1: (Priority Schools Only) Specific Fiscal Requirements</b>					
1.1-F-1003	The subgrantee can demonstrate that its written methodology ensures that each school the local educational agency proposes to serve will receive all of the State and local funds it would have received in the absence of funds received under this section.	ESEA §1003(e)(1)(F)(2)	- Written methodology procedures demonstrating how state and local resources were allocated to all schools within the LEA  - Provide documentation demonstrating actual school-level allocation of 1003 funding to Priority schools. OSSE will provide the LEA with a list of sample schools.		
<b>Indicator 2: (Focus Schools only) Specific Fiscal Requirements</b>					
2.1-F-1003	The subgrantee can demonstrate that its written methodology ensures that each school the local educational agency proposes to serve will receive all of the State and local funds it would have received in the absence of funds received under this section.	ESEA §1003(e)(1)(F)(2)	- Written methodology procedures demonstrating how state and local resources were allocated to all schools within the LEA  - Provide documentation demonstrating actual school-level allocation of 1003 funding to Focus schools. OSSE will provide the LEA with a list of sample schools.		

MCKINNEY VENTO: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).</b>			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.		
<b>Indicator 1: The subgrantee is compliant with ESEA Title I Homeless program requirements</b>						
1.1	An subgrantee receiving Title I, Part A funds must include in its local plan a description of how the plan is coordinated with the McKinney-Vento Act. The local plan must describe services provided to homeless children and youths.	42 USC §11432(g)(4)(B); ESEA §1113(c)(3)(A)(i)	- On file with OSSE	- Evidence that the subgrantee implemented the plan as stated in EGMS (e.g., budget reports at the end of a fiscal year, records of expenditures, carryover, summary reports, and evidence of activities).		
<b>Indicator 2: The subgrantee has implemented the McKinney-Vento requirements</b>						
2.1	There is evidence that the subgrantee reviews and revises, as needed, policies, procedures, and/or practices that may act as barriers to the identification, enrollment, retention, and success of homeless students.	42 USC §11432(g)(1)(I) and (g)(7)(A)	The subgrantee must provide evidence of compliance, which may include the following:  - Agendas, sign-in sheets, handouts, and/or minutes - If applicable, copy of the final version of new policies after revisions have been incorporated - If applicable, evidence that the subgrantee adopted and disseminated the revised policy, procedure or practice. Examples of demonstrated evidence may include providing a copy of the subgrantee's handbook or other methods used to distribute policies/procedures to stakeholders - Schedule/timeline indicating the subgrantee's intention to regularly review/revise policies/procedures as needed of when policies were reviewed.			
2.2	The subgrantee has a designated homeless liaison.	42 USC §11432(g)(1)(J)(ii)	The subgrantee must provide evidence of compliance, which may include the following:  - Organizational Chart - Homeless Liaison job description - Homeless educational rights literature identifying the Homeless Liaison's contact information - Evidence that the subgrantee designates and allows for training of a liaison for homeless children and youth and that this person provides training to other relevant district personnel - Evidence that the homeless liaison provides training to school-based staff			
2.3	The subgrantee has a procedure in place and implements that procedure to identify homeless students.	42 USC §11432(g)(6)(A)(i)	The subgrantee must provide evidence of compliance, which may include a process for identifying homeless students (e.g., student roster, documentation of student enrollment procedures or registration/enrollment forms that show self-identification indicator).			
2.4	The subgrantee shall cooperate with the State Coordinator for Education of Homeless Children and Youths and comply with any requests for information.	42 USC §§11432(g)(6)(C)	- On file at OSSE			

MCKINNEY VENTO: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<p><b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).</b></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>		
2.5	<p>There is evidence that:</p> <p>a. The subgrantee has a procedure for communicating information regarding enrollment in public schools for homeless families.</p> <p>b. Schools are knowledgeable of the policies and procedures.</p>	<p>42 USC §§11432(g)(3)(B)-(g)(3)(C)</p>	<p>The subgrantee must provide evidence of compliance, which may include the following:</p> <ul style="list-style-type: none"> <li>- Parent involvement/outreach policy and planning documents (e.g., handbook or materials distributed to families that includes subgrantee's policies or procedures for communicating to homeless families)</li> <li>- Parent meeting/activity calendar, agenda, and sign-in/attendance sheets</li> <li>- Evidence of parent/community outreach (e.g., PowerPoint deck, flyer, and other handouts)</li> <li>- PD schedule that includes MKV training for staff (e.g., materials distributed during the training session, agenda, sign-in sheet)</li> </ul>			
2.6	<p>There is evidence that the subgrantee has adopted a written dispute resolution process 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.</p>	<p>42 USC §11432(g)(3)(E); 42 USC §11432(g)(4)(A); 42 USC §11432(e)(3)(C)(ii)(II); 42 USC §11432(2); 42 USC §11432(g)(1)(I)</p>	<p>The subgrantee must provide evidence of compliance, which may include the following:</p> <ul style="list-style-type: none"> <li>- subgrantee's Dispute Resolution Policy (either created by subgrantee or adopting the OSSE policy):</li> <li>- Evidence that the subgrantee implements a process for the prompt resolution of disputes, such as a phone log, notes, or e-mail messages</li> <li>- Records indicating that enrollment disputes are investigated and resolved in a timely manner</li> <li>- Evidence that students are enrolled and provided transportation during the dispute resolution process</li> <li>- Must include guidance and template of the forms that may be used to request an appeal.</li> <li>- Examples of written notification to parents and youth regarding placement decisions when they are different from what was requested, if applicable. Written procedure or narrative description of the subgrantee'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.</li> </ul>			
2.7	<p>If a dispute arises over school selection or enrollment in a school, the subgrantee 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.</p>	<p>42 USC §11432(g)(3)(E)(ii)</p>	<p>The subgrantee must provide evidence of compliance, which may include the following (if applicable):</p> <ul style="list-style-type: none"> <li>- Sample of letter of explanation to communicate enrollment decisions (e.g., a form letter or redacted letter previously submitted)</li> <li>- The subgrantee's documentation to communicate to families about their Right to Appeal enrollment decisions (e.g., form letter, handout, flyer, handbook excerpt, etc.)</li> <li>- Written parent notifications (samples) of the determination</li> </ul>			

MCKINNEY VENTO: PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
<p><b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).</b></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>	
2.8	The subgrantee 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)	<p>The subgrantee must provide evidence of compliance, which may include the following:</p> <ul style="list-style-type: none"> <li>- A copy of the final version of policies/procedures</li> <li>- A list of programs offered to the general population and assessment tool(s) used to determine individual student's needs</li> </ul>		
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)	<p>The subgrantee must provide evidence of compliance, which may include the following (if applicable):</p> <ul style="list-style-type: none"> <li>- List of services and resources offered for homeless students.</li> <li>- Needs assessment to determine appropriate services for eligible students (e.g. process and assessment tools used to gather information)</li> <li>- Documentation of services provided to homeless students</li> </ul>		
2.10	There is evidence that the subgrantee ensures homeless pre-school 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)	<p>The subgrantee must provide evidence of compliance, which may include the following (if applicable):</p> <ul style="list-style-type: none"> <li>- Brochures/flyers shared with parents regarding the MySchoolDC/Lottery process.</li> <li>- General review of all policies/procedures may act as barriers</li> <li>- Documents related to activities associated with homeless pre-school youth</li> </ul>		
2.11	The subgrantee 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)	<p>The subgrantee must provide evidence of compliance, which may include evidence that the subgrantee 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), for example schedules, agenda, minutes, notes, or handouts from attending related meetings, list of collaborative efforts with local agencies to provide events for homeless students at the subgrantee, and/or sample referral forms (if applicable).</p>		
2.12	The subgrantee has a procedure for assisting homeless, unaccompanied youth in placement and enrollment decision.	42 USC §11432(g)(3)(B)(iv)	<p>The subgrantee must provide evidence of compliance, which may include evidence that unaccompanied youth are enrolled, provided transportation, and afforded all rights and protections as outlined in the McKinney-Vento Homeless Assistance law as applicable.</p>		

MCKINNEY VENTO: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).</b>			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.		
2.13	The subgrantee ensures that transportation to the school of origin is provided upon request and in accordance with legal requirements	42 USC §§11432(g)(1)(J)(iii); 42 USC §11432(2); 42 USC §11432(g)(1)(I)	The subgrantee must provide evidence of compliance, which may include evidence that the subgrantee ensures that transportation is provided upon request and monitored by the subgrantee including on site emergency resources, for example, transportation support documentation (ex: Excel spreadsheet tracking supports), procedure to determine need for transportation to/from the school is provided, and/or tracking/log of support distribution.			
2.14	The subgrantee has procedures for coordinating with other subgrantees and inter-district educational agencies regarding the transfer of school records.	42 USC §11432(g)(5)(A)(ii)	The subgrantee must provide evidence of compliance, which may include evidence of a procedures for coordinating with other subgrantees and inter-district agencies to obtain or transfer school records, for example documentation showing record transfer, MOA, MOU, training documents, and/or written policy or narrative.			
2.15	To ensure that homeless students are properly identified and provided services, the subgrantee provides specific in-service training and staff development for school personnel in meeting the needs of homeless students.	42 USC §11432(g)(6)(A)(ix)	The subgrantee must provide evidence of compliance, which may include evidence that the subgrantee provides specific in-service training and staff development for school personnel in meeting the needs of homeless students. For example, training or technical assistance materials, presentation materials, materials distributed within the subgrantee to heighten awareness of the needs of homeless students (e.g. materials used to share information about homelessness, literature or website links shared with subgrantee and school staff, OSSE training and resources materials that were shared) as applicable.			
2.16	The subrecipient's program is based on an assessment of the educational and related needs of homeless children and youths in the area served by the subrecipient (which may be undertaken as part of needs assessments for other disadvantaged groups). (GRANT SUBRECIPIENTS ONLY)	42 USC §11433(b)(1)	- On file at OSSE			
2.17	The subrecipient evaluates the program/project in accordance with the subrecipient's approved application, as applicable. (GRANT SUBRECIPIENTS ONLY)	ESEA §723(c)(3)(E)	The subgrantee must provide evidence of compliance, which may include evidence that the approved evaluation plan was implemented in alignment with the approved application on file at OSSE.			
2.18	There is evidence that services provided under the subrecipient's McKinney-Vento program expands or improves, but does not replace, services provided as part of a school's regular academic program. (GRANT SUBRECIPIENTS ONLY)	42 USC §11433(a)(2)(A)(iii)	The subgrantee must provide evidence of compliance, which may include evidence that the approved plan was implemented in alignment with the approved application on file at OSSE.			



MCKINNEY VENTO: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<p><b>Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).</b></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>		
2.19	<p>There is evidence that the subrecipient is implementing the McKinney-Vento program as described in the approved application. (GRANT SUBRECIPIENTS ONLY)</p>	42 USC §11433(b)	<p>The subgrantee must provide evidence of compliance, which may include evidence that the subgrantee's McKinney-Vento program was implemented as described in the subgrantee's approved application on file at OSSE.</p>			

MCKINNEY VENTO: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Within this title, all references to ESEA shall mean the Elementary and Secondary Education Act of 1965 as amended by the Every Student Succeeds Act (2015).			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.		
<b>Indicator 1: McKinney-Vento Program- Specific Fiscal Requirements</b>						
1.1-F-MKV	If applicable to the subgrantee 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 subgrantee can demonstrate that funds for the current grant period were obligated within the period of availability.	34 CFR §§76.707-76.710, 2 CFR §§200.77, 200.309		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts.		
1.3-F-MKV	The subgrantee can demonstrate that MKV grant expenditures were necessary, reasonable, allocable, and only for authorized purposes.	2 CFR §§200.403 - 200.405		- Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts.		
1.4-F-MKV	The subgrantee complies with the maintenance of effort (MOE) fiscal requirement. (If Title I, Part A is monitored with MKV, reference Item 1.1-F-TitleI to determine compliance.)	ESEA §1118 and 8521	- On file at OSSE			

In accordance with the commitments made in the 2016-2017 Transition Plan to the Every Student Succeeds Act (ESSA), OSSE conducted a review of the District of Columbia Public Schools' (DCPS) Priority and Focus schools planning through a review of each school's needs assessment, Comprehensive School Plan (CSP), and monitoring artifacts. In addition, as part of Title I monitoring, OSSE conducted school-based site visits to a subset of Priority and Focus schools. The purpose of the visits were to observe strategies outlined in the school improvement plans for each school and understand school improvement planning at the school level. Schools were chosen via a randomized selection process.

As a part of the visit, OSSE observed classrooms and spoke with stakeholders (school leaders, teachers, parents, and age-appropriate students) about the planning process. Focus group participants engaged in a discussion around school improvement planning, stakeholder involvement, monitoring, LEA supports and communication. In preparation for the full implementation of the Every Student Succeeds Act (ESSA), the information regarding OSSE's feedback on the on-site school visit in the table below outlines the observations, recommendations, and how their school planning aligns with ESSA.

**SCHOOL IMPROVEMENT PLAN MONITORING**

DOMAIN	OBSERVATIONS	REVIEW FEEDBACK
GUIDING QUESTION	<i>Does the school engage in a comprehensive school improvement planning process?</i>	
School Improvement Planning		

**SCHOOL IMPROVEMENT PLAN MONITORING**

<b>DOMAIN</b>	<b>OBSERVATIONS</b>	<b>REVIEW FEEDBACK</b>
GUIDING QUESTION	<i>Are the appropriate stakeholders involved in plan development and implementation?</i>	
Stakeholder Involvement		
GUIDING QUESTION	<i>Does the school and LEA have a system for monitoring student progress?</i>	
Monitoring Student Progress		

**SCHOOL IMPROVEMENT PLAN MONITORING**

<b>DOMAIN</b>	<b>OBSERVATIONS</b>	<b>REVIEW FEEDBACK</b>
GUIDING QUESTION	<i>Are the school's communications to internal and external stakeholders effective?</i>	
Communication		
GUIDING QUESTION	<i>How have the LEA and SEA supported the school improvement planning process and has the support been helpful to the school?</i>	
LEA/SEA School Improvement Planning Support		

The Special Education Enhancement Fund (SEEF) competitive grant for FY18 prioritized applications which:  
 - Demonstrate the project’s ability to support the creation of a continuum of public placements and build capacity to serve students in the least restrictive environment, in accordance with the federal Individuals with Disabilities Education Act (IDEA) CFR §300.114.  
 - Demonstrate the project’s ability to improve graduation, secondary transition, and post-secondary outcomes for students with disabilities.

Indicator	Grant Application Activity or Medium Term Outcome (from Application Narrative and Logic Model)	Citation	Evidence	Determination	Remarks
<b>Note: Indicators and evidence are LEA-specific, based on the LEA's original grant application. This information will be updated in the tool for each LEA that will be monitored.</b>		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.		
<b>SEEF Competitive Grant Priority #1: Support a continuum of placements and build capacity to serve students in the least restrictive environment, in accordance with IDEA.</b>					
<b>Project Activity 1: Campus Directors of Student Support</b>					
1.1.1	Onboard Campus Directors (August-September)	DC Code Sec. 38-2614		- Resumes of Campus Directors of Student Support, including experience with school leadership, teacher development, and data skills.	
1.1.2	Campus Directors meet with school leaders to plan for the year (August-September)	DC Code Sec. 38-2615		- Evidence of collaboration sessions (agendas, meeting notes, sign-in sheets, etc.) with school leaders to advance best practices in specialized instruction and compliance	
1.1.3	Campus Directors work with school leaders to develop plans to support staff on special education	DC Code Sec. 38-2616		- Evidence of plans developed with school leaders to support staff on special education (e.g., planning documents, PD schedules, etc.)	
1.1.4	Campus Directors update campus staffing (if applicable) to support students with IEPs and inclusive practices.	DC Code Sec. 38-2615		- Evidence of updates to campus staffing to support students with IEPs and inclusive practices (if applicable based on plans)	
1.1.5	Campus Directors conduct training with school leaders to improve specialized instruction, strengthen continuum of services, and ensure that all students are placed in the least restrictive environment	DC Code Sec. 38-2616		- Evidence of trainings conducted with school leaders to improve specialized instruction, strengthen continuum of services, and ensure that all students are placed in the least restrictive environment	
1.1.6	Campus Directors provide coaching for special educators	DC Code Sec. 38-2617		Agendas and sign in sheets from coaching sessions for special educators	
1.1.7	Campus Directors provide regular observations and feedback with special educators throughout the year	DC Code Sec. 38-2618		- Evidence of regular cycle of observations and feedback sessions with special educators throughout the year	
<b>Project Activity 2: Intensive Intervention for Struggling Readers using Lindamood-Bell</b>					
1.2.1	Train teachers on Lindamood-Bell (L-B)	DC Code Sec. 38-2622		- Evidence of trainings (e.g., agendas, sign-in sheets, schedules, etc.) to train teachers on L-B interventions	

Indicator	Grant Application Activity or Medium Term Outcome (from Application Narrative and Logic Model)	Citation	Evidence		Determination	Remarks
<b>Note: Indicators and evidence are LEA-specific, based on the LEA's original grant application. This information will be updated in the tool for each LEA that will be monitored.</b>			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.		
1.2.2	Provide targeted L-B intervention for at least students in 10th reading percentile, in small group instruction, two hours per day, five days a week. (At least 50 students in fall, 50 students in spring)	DC Code Sec. 38-2623		- Evidence intervention occurred, such as schedules, student lists, etc.		
<b>SEEF Grant Priority #2: improve graduation, secondary transition, and post-secondary outcomes for students with disabilities</b>						
<b>Project Activity 3: Improved High School Transition Services</b>						
2.3.1	Director of College Support conducts numerous activities to help support SWD in transitioning out of high school.	DC Code Sec. 38-2624		- Resume for Director of College Support		
2.3.2	Students do the Education, Employment, and Independent Living assessments (once per year), RSA application and Individualized Plan for Employment, and Pre-Employment	DC Code Sec. 38-2625		- Evidence of EEIL assessments and sample results		
2.3.3	KCP hosts College Fair (September)	DC Code Sec. 38-2626		- Event schedule - Sign-in sheets		
2.3.4	High school seniors apply for college and/or certification programs (fall/winter)	DC Code Sec. 38-2628		- Report describing college application rate - Copies of submitted college and/or certificate programs for students with disabilities		
2.3.5	Transition Coordinator and Director of College Support work with city agencies and businesses to pursue job training opportunities (August-June); Identify summer employment opportunities and support students in applying (January-May)	DC Code Sec. 38-2629		- Evidence of job training placements developed and secured (e.g., list of placements, schedules, summary charts of placements, etc.)		
2.3.6	KTC Director of College Support holds individual post-secondary planning meetings with seniors (February-March)	DC Code Sec. 38-2630		- Evidence of individual post-secondary planning meetings (e.g., agendas, schedule, sign-in, etc.)		
2.3.7	Identified college supports and accommodations for college-bound SWD	DC Code Sec. 38-2631		- Evidence of specific college-level supports identified for SWD		

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.

<b>CORRECTIVE ACTION PLAN TEMPLATE</b>					
<b>FINDING/ RECOMMENDATION</b>	<b>PROPOSED LEA CORRECTIVE ACTION</b>	<b>TIMELINE</b>	<b>RESPONSIBLE OFFICE/PARTY</b>	<b>EVIDENCE OF IMPLEMENTATION</b>	<b>SEA RESPONSE TO CAP</b>