

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



Monitoring Guidance for K-12 Federal Grants
Fall 2019

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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 2019-20 school year. Please note that for most grants authorized under the Elementary and Secondary Education Act (ESEA), the 2019-20 monitoring cycle will review subrecipient compliance with the Every Student Succeeds Act, which reauthorized the ESEA in December 2015. Consult the Grant Guidelines Summary below for detailed information on each grant.

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

- 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 A: Student Support and Academic Enrichment Grants
- ESEA Title IV, Part B: 21st 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
- Special Education Enhancement Fund (SEEF)

I. **COMPLIANCE MONITORING**¹

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. 39. 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 Activities**

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 2019-20 school 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

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

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
- Comprehensive Support and Improvement Schools (CS1)
- Comprehensive Support and Improvement Schools (CS2)
- Targeted Support and Improvement Schools (TS)
- 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 at 60 days prior to the scheduled monitoring visit.

Step 3: Pre-site Activities

OSSE offers high-risk subrecipients an opportunity to learn more about the monitoring visit through the following: 1) mandatory monitoring onboarding meeting (i.e., virtual or on-site) to discuss the risk-based monitoring determinations process and answer questions about OSSE's Monitoring Tool and 2) pre-site telephone conference during which 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 again 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 Agency, 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 Agency, 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 on-site student level file reviews, 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 90 days of the LEA's response to the Preliminary monitoring report, 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 2019-20 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 the LEA's response to the Preliminary monitoring report)
- 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
- Comprehensive Support and Improvement Schools (CS1)

- Comprehensive Support and Improvement Schools (CS2)
- Targeted Support and Improvement Schools (TS)
- 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 subrecipient risk designation level
- The purpose of the desktop monitoring
- The proposed submission date for required documentation
- The proposed date for the pre-desktop review telephone conference
- The date the monitoring review period begins
- 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

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 calendar days to review the report and share any additional information that may demonstrate compliance.
- Final monitoring report: Within 90 days of the LEA's response to the Preliminary monitoring report, 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
Selection Methodology	Risk analysis in all applicable areas.		
Risk Indicators	<ul style="list-style-type: none"> • 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) • Comprehensive Support and Improvement Schools (CS1) • Comprehensive Support and Improvement Schools (CS2) • Targeted Support and Improvement Schools (TS) • 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 and/or application; untimely reporting: two or more late reports and/or applications; GAN requirements not met/LEA on special conditions; failure to submit required data (includes funding amendments); grant funds withheld or revoked 		
Monitoring Experience	<p>No Desktop or On-Site Monitoring Any subrecipient falling within the low risk tier will not be required to participate in desktop or on-site monitoring activities under the risk-based monitoring model.</p>	<p>Desktop Monitoring Desktop monitoring activities could be as specific as a request for documentation supporting a single reimbursement request or as expansive as a request for a series of quarterly reports or supporting documentation across the grant period. Results are compiled into a single Consolidated Monitoring Report, and in some instances a corrective action plan may be required.</p>	<p>On-Site Monitoring On-site monitoring activities include a process by which selected subrecipients receive an on-site visit by OSSE's Coordinated Monitoring Team for a comprehensive document and record review, stakeholder interviews, fiscal examination and follow-up technical assistance, if needed. Results are compiled into a single Consolidated Monitoring Report, and in some instances a corrective action plan may be required.</p>
Pre-Site Conference Required	Not Applicable	May include a phone conference	Yes, either on-site or via phone conference

Appendix

Determining LEA Risk Level

OSSE uses a consolidated risk-based monitoring approach to prioritize the monitoring of local education agencies (LEAs) which receive funds for the following grant program(s):

- 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: 21st 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
- Special Education Enhancement Fund (SEEF)

As a part of that transition, OSSE developed a risk matrix to determine the schedule and scope of the monitoring applicable LEAs receive each year. The matrix contains 11 fiscal and programmatic risk criteria detailed below. LEA specific information may be found in OSSE's QuickBase Application titled K-12 Systems and Supports Grants Risk Assessment. This application was designed to provide LEAs with an understanding of the risk matrix, and specifically, the data utilized to make risk determinations.

Some risk criteria are based on an LEA's performance on individual grants, while others are based on overall LEA status. For risk criteria that consider an LEA's performance on individual grants, the weight of each grant is determined based on the relative impact of the grant. For example, ESEA and IDEA formula grants, which are made available to all qualifying LEAs, receive a larger weight than a grant of smaller scope such as the McKinney-Vento grant. Additionally, the relative size of each grant is considered.

How LEA Risk Scores Are Calculated

The assessment contains 11 fiscal and programmatic risk categories:

- Single Audit and Fiscal Findings (~20%)
- Higher Grant Award Totals (~7%)
- Failure to Drawdown Grant Funds (~14%)
- Findings that Resulted from IDEA Complaints Filed against Agency (~4%)
- IDEA Part B Determination Level (~4%)
- Comprehensive Support and Improvement School (CS1)(~4%)
- Comprehensive Support and Improvement School (CS2)(4%)
- Targeted Support and Improvement (TS)(2%)

- Unresolved Noncompliance (4%)
- Additional Concerns (~13%)
- Past Monitoring (~24 %)

The following methodology was used:

1. Points assigned across all eight risk categories are totaled to determine the risk score
2. The 25th percentile score and the 75th percentile score are identified to establish risk-level cut points
3. Risk level is assigned based on the below thresholds

Risk Level Thresholds

1. Low Risk: The LEA's risk score is below the 25th percentile
2. Medium Risk: The LEA's risk score is between the 25th and 75th percentile
3. High Risk: The LEA's risk score is above the 75th percentile

Detailed review of fiscal and programmatic risk categories:

I. Single Audit and Financial Review Findings

Data Source: Individual LEA FY 2018 Single Audit and Financial Review Results

Method and Criteria

OSSE staff reviewed each LEA's FY18 single audit and financial review results to determine whether there were concerns with the LEA's management of federal grant funds and if findings were issued as a result of the audit, applying the below thresholds. The maximum points possible for this category is 25.

II. Higher Grant Award Totals

Data Source: OSSE's Enterprise Grants Management System (EGMS)

Method and Criteria

OSSE identified each LEA's total grant award for the 2018-19 school year. OSSE then determined the grant amount in the 50th percentile, or the median, of the distribution of grants awarded to all LEAs. Any grant award that was higher than the amount in the 50th percentile, or the median, was considered a higher grant award. OSSE then assigned a point value to each grant and scored each LEA accordingly. In assigning points, OSSE considered the relative size and scope of each grant award.

III. Failure to Draw Down Grant Funds

Data Source: OSSE's Enterprise Grants Management System (EGMS)

Method and Criteria

For each of the grants, OSSE grant managers calculated the draw down rate for the 2018-19 school

year as of July 1, 2019, for each applicable LEA. The draw down rate is calculated by dividing the amount of funds for which an LEA sought reimbursement by the total grant funds awarded in the given year. OSSE considers a burn rate of less than 60 percent to be a risk. OSSE assigned a point value to each grant and scored each LEA accordingly. Additionally, if an LEA failed to draw down 20 percent or less of funds in two or more grants, the maximum of 18 points was assigned for this category.

For example, if an LEA had a draw down rate of 35 percent for Title IV, Part A funds, it was assigned one point in this category of the risk matrix.

IV. **Findings as a Result of IDEA Complaints Filed Against the Agency**

Data Source: Special education dispute resolution data collected during the 2017-18 school year, including state complaints tracking system and Hearing Officer Determinations (HOD) compliance database.

Method and Criteria

OSSE used the above data sources to determine whether an LEA timely resolved findings of noncompliance that result from a state special education complaint(s) and/or a Hearing Officer Determination (HOD) in the 2017 -18 school year.

LEAs that failed to timely resolve findings of noncompliance were assigned five points in the *Complaints filed Against the Agency* category of the risk matrix.

V. **IDEA Part B Determination Level**

Data Source: Most Recent IDEA Part B LEA Determinations

Method and Criteria

Under the Individual with Disabilities Education Act (IDEA) OSSE is required to make determinations annually of an LEA's programming for students with disabilities. In making such determinations, OSSE assigns each LEA one of the following determination levels:

- Meets requirements
- Needs assistance
- Needs intervention
- Needs substantial intervention

OSSE considers a variety of performance and compliance indicators when assigning an IDEA determination level to an LEA. OSSE included an LEA's determination level in the risk matrix because a determination level of Needs Assistance or Needs Intervention indicates that an LEA has not sufficiently demonstrated an ability to serve students with disabilities. In August, OSSE issued a determination decision to each LEA. Please check with your Special Education Coordinator for details regarding your LEA's determination.

VI. Comprehensive Support & Improvement (CS1)

Data Source: DC School Report Card School Support Designations List

Method and Criteria

OSSE used the above data source to identify schools designated as Comprehensive Support and Improvement Schools, type 1 in the 2018-19 school year.

LEAs with school(s) designated as Comprehensive Support and Improvement Schools, type 1 were assigned five points in the Comprehensive Support & Improvement (CS1) category of the risk matrix.

VII. Comprehensive Support & Improvement (CS2)

Data Source: DC School Report Card School Support Designations List

Method and Criteria

OSSE used the above data source to identify schools designated as Comprehensive Support and Improvement, type 2 in the 2018-19 school year.

LEAs with school(s) designated as Comprehensive Support and Improvement Schools, type 2 were assigned five points in the Comprehensive Support & Improvement (CS2) category of the risk matrix.

VIII. Targeted Support & Improvement (TS)

Data Source: DC School Report Card School Support Designations List

Method and Criteria

OSSE used the above data source to identify schools designated as Targeted Support and Improvement Schools, type 1 in the 2018-19 school year.

LEAs with school(s) designated as Targeted Support and Improvement Schools, type 1 were assigned two points in the Comprehensive Support & Improvement (CSI) category of the risk matrix.

IX. Unresolved Noncompliance from Previous Monitoring Reviews

Data Source: OSSE Corrective Action Tracking System and OSSE grant managers

Method and Criteria

OSSE identifies which LEAs had unresolved findings of noncompliance from on-site monitoring occurring in the 2018-19 school year.

LEAs which failed to close timely findings of noncompliance from the 2018-19 school year, across any of the grants were assigned 5 points in the *Unresolved Noncompliance* category of the risk matrix.

X. Additional Concerns

Data Source: OSSE grant managers

Method and Criteria

OSSE grant managers annually identify additional challenges regarding LEA's grant administration practices.

XI. Most Recent Monitoring Event

Data Source: Historical monitoring reports

Method and Criteria

OSSE determined the most recent monitoring visit that took place for each LEA. If an LEA had not been monitored in the past five school years (i.e. since Oct. 1, 2014), points were assigned by grant.

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: 21st 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
- Special Education Enhancement Fund (SEEF)

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

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

Grant Name	Title I – Improving the Academic Achievement of the Disadvantaged
Legal Citation	Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, §§1112-1119, 1127 20 U.S.C. §§ 6312-6315, 6318-6322, 6339
Grant Type	Formula
Grant Purpose	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.
OSSE Monitoring Requirement	2 CFR §200.331(d)(1-3): All pass-through entities must: (d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include: (1) Reviewing financial and performance reports required by the pass-through entity. (2) Following-up and ensure that the subrecipient take timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means. (3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required 2CFR §200.521 Management decision.

<p>Annual Subrecipient Reporting Requirements</p>	<p>New or Significantly Expanding Public Charter School (NOSEPCS): Notification of the opening or significant expansion of charter schools via submission of the <i>New or Significantly Expanding Public Charter School Notification Form</i>. (34 CFR Part 76)</p> <p>Maintenance of Effort: Maintenance of Effort 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. (ESSA Section 8521)</p> <p>Supplement Not Supplant: As provided ESEA as amended by ESSA Section 1118 (b)(1) a local educational agency shall use Federal funds received under this part only to supplement the funds that would, in the absence of such Federal funds, be made available from State and local sources for the education of students participating in programs assisted under this part, and not to supplant such funds. (2) COMPLIANCE.—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. (ESSA 1118(b)(1-2))</p> <p>Comparability Report (DCPS only): Subrecipients must provide state and local resources in Title I schools that are comparable to the services provided in non-Title I schools. (ESSA 1118(c))</p>
<p>Web-Based Resources on Grant Program</p>	<p>This OSSE website provides resources to LEAs that will support development and implementation of federal programs. ESSA Guidance for LEAs</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. Transitioning to the Every Student Succeeds Act (ESSA)1.18.17</p> <p>This U.S. Department of Education resource explains how operating a schoolwide program under Title I can be beneficial to LEAs and schools as they explore how to most effectively leverage their local, State, and Federal funds in order to promote school reforms and raise student achievement. ESSA Schoolwide Program Guidance</p>

<p>Web-Based Resources on Grant Program (Cont'd)</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: Non-Regulatory Guidance: Early Learning.</p> <p>This OSSE website provides the key resources which can help with parent and family engagement under The Every Student Succeeds Act (ESSA). Parent and Family Engagement Under ESSA</p>
<p>OSSE Contact</p>	<p>Mrs. Bonnie Bacon Supervisory Education Program Specialist Division of Systems and Supports, K-12 Office of the State Superintendent of Education (202) 545-7224 or Bonnie.Bacon@dc.gov</p>

Title I, Part A: 1003, School Improvement Funds

Grant Name	Title I, 1003
Legal Citation	<p><u>Program Monitoring</u> Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, §1003(a) 20 U.S.C. 6301 et seq.</p> <p><u>Supplement Not Supplant Monitoring</u> Elementary and Secondary Education Act of 1965, as amended through P.L. 114-95, enacted by Every Student Succeeds Act, December 10, 2015</p>
Grant Type	Formula
Grant Purpose	The purpose of this grant is to provide funding to LEAs with Comprehensive Support and Improvement and Targeted Support and Improvement schools Priority and Focus schools to assist in meeting the progress goals in their school improvement plans and ultimately improve student performance.
OSSE Monitoring Requirement	<p>2 CFR §200.331(d)(1-3):</p> <p>All pass-through entities must:</p> <p>(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:</p> <p>(1) Reviewing financial and performance reports required by the pass-through entity.</p> <p>(2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.</p> <p>(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by 2FR§200.521 Management decision.</p>

Annual Subrecipient Reporting Requirements	N/A
Web-Based Resources on Grant Program	<p>This resource describes OSSE’s School Support Designations and requirements. It also provides mandatory templates needed to meet grant implementation requirements: Investments in Schools and School Support under ESSA.</p> <p>Understanding Evidence-Based Practices: https://osse.dc.gov/node/1275686</p>
OSSE Contact	<p>Ms. Renu Oliver School Improvement Initiatives Manager Accountability, Performance and Supports Cluster Division of Systems and Supports, K-12 (202) 741-5251 or Renu.Oliver@dc.gov</p>

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

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

	<p>(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:</p> <p>(1) Reviewing financial and performance reports required by the pass-through entity.</p> <p>(2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.</p> <p>(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 management decision.</p>
Annual Subrecipient Reporting Requirements	Monthly progress reports
Web-Based Resources on Grant Program	The U.S. Department of Education’s School Improvement Grant website, including the Final Requirements and related guidance: http://www2.ed.gov/programs/sif/index.html
OSSE Contact	<p>Ms. Renu Oliver School Improvement Initiatives Manager Accountability, Performance and Supports Cluster Division of Systems and Supports, K-12 (202) 741-5251 or Renu.Oliver@dc.gov</p>

Title I, Part D: Neglected, Delinquent Youth

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

Annual State/Public Agency	Annual Report of Children in Institutions for Neglected or Delinquent Children,
<p>Reporting Requirements</p>	<p>Adult Correctional Institutions, and Community Day Programs for Neglected or Delinquent Children: The subrecipient must submit annually the Annual Report of Children in Institutions for Neglected or Delinquent Children, Adult Correctional Institutions, and Community Day Programs for Neglected or Delinquent Children which determines the level of funding for LEAs and State agencies responsible for providing free public education for neglected or delinquent children in institutions or community day programs.</p> <p>Consolidated State Performance Report (CSPR): The subrecipient must provide academic performance data for neglected or delinquent children in institutions or community day programs to ensure the proper application of grant funds towards ESEA goals.</p> <p>Maintenance of Effort (MOE): Maintenance of Effort refers to the need for each subrecipient, as a condition of receiving funds under any "covered program" (identified in the ESEA as amended by NCLB section 9101(13)), to have maintained in the previous fiscal year at least 90 percent of the level of State and local expenditures for K-12 education, in the aggregate or on a per-pupil basis, that the subgrantee expended in the second preceding fiscal year.</p>
<p>Web-Based Resources on Grant Program</p>	<p>This resource from the U.S. Department of Education provides a thorough overview of Title I, Part D programs strategies used to provide a fair and equal opportunity for high-quality education, transition services and dropout prevention services that includes laws, regulations, and guidance: https://www2.ed.gov/programs/titleipartd/legislation.html</p> <p>This U.S. Department of Education guidance provides a thorough overview of Title I, Part D requirements and provides suggestions for addressing many of the requirements: https://www2.ed.gov/policy/elsec/guid/nord.doc</p> <p>This resource is a link to the National Technical Assistance Center for the Education of Neglected or Delinquent Children and Youth (NDTAC) which serves as a national resource center to provide direct assistance to States, schools, communities, and parents seeking information on the education of children and youth who are considered neglected, delinquent, or at-risk: NDTAC</p>
<p>OSSE Contact</p>	<p>Ms. Alison Losey Program Analyst Special Programs Cluster Division of Systems and Supports, K-12 202-654-6110 or Alison.Losey@dc.gov</p>

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

Grant Name	Title II – Preparing, Training and Recruiting High Quality Teachers, Principals and Other School Leaders
Legal Citation	Elementary and Secondary Education Act of 1965, as amended, Title II, Part A, §§ 2103 20 U.S.C. 6613
Grant Type	Formula
Grant Purpose	<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"> (1) increase student achievement consistent with the challenging State academic standards; (2) improve the quality and effectiveness of teachers, principals, and other school leaders; (3) increase the number of teachers, principals, and other school leaders who are effective in improving student academic achievement in schools; and (4) provide low-income and minority students greater access to effective teachers, principals, and other school leaders.
OSSE Monitoring Requirement	<p>2 CFR §200.331(d)(1-3)</p> <p>All pass-through entities must:</p> <p>(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:</p> <ul style="list-style-type: none"> (1) Review financial and performance reports required by the pass-through entity. (2) Follow-up and ensure that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means. (3) Issue a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by 2 CFR § 200.521 Management decision.

Annual Subrecipient Reporting Requirements	New or Significantly Expanding Public Charter School (NOSEPCS): Notification of the opening or significant expansion of charter schools via submission of the <i>New or Significantly Expanding Public Charter School Notification Form</i> . (34 CFR Part 76)
Web-Based Resources on Grant Program	This U.S. Department of Education resource highlights some of the new and important ways LEAs can use their Title II, Part A funds more strategically and for greater impact. ESSA Title II Non-Regulatory Guidance 9-27-16.pdf
OSSE Contact	Mrs. Bonnie Bacon Supervisory Education Program Specialist Division of Systems and Supports, K-12 Office of the State Superintendent of Education (202) 545-7224 or Bonnie.Bacon@dc.gov

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

Grant Name	Title III – Language Instruction for English Learners and Immigrant Students
Legal Citation	Elementary and Secondary Education Act of 1965, as amended, Title III, §§ 3111–3141 3115-3116
Grant Type	Formula
Grant Purpose	<p>The purposes of this Title 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. (ESSA § 3102)</p>

<p>OSSE Monitoring Requirement</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 2 CFR 200.521 Management decision.</p>
<p>Annual Subrecipient Reporting Requirements</p>	<p>Annual</p>
<p>Web-Based Resources on Grant Program</p>	<p>This OSSE resource provides guidance for administrators, instructional leaders, and teachers in providing services to English learners:</p> <p>Delivering Education Services to English Learners Policies and Procedures for Administrators, Instructional Leaders, and Teachers in the District of Columbia</p> <p>This U.S. Department of Education resource provides guidance on how Title III funds may be used to provide supplemental services that support improved 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:</p> <p>Non-Regulatory Guidance: English Learners and Title III of the Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA)</p>
<p>OSSE Contact</p>	<p>Mrs. Bonnie Bacon Supervisory Education Program Specialist Division of Systems and Supports, K-12 Office of the State Superintendent of Education (202) 545-7224 or Bonnie.Bacon@dc.gov</p>

Title IV, Part A: Subpart 1 - Student Support and Academic Enrichment

Grant Name	Student Support and Academic Enrichment
Legal Citation	Elementary and Secondary Education Act of 1965, as amended, Title IV, Part B: Subpart 1 §§ 4106-4111 U.S. C. 7116 - 7121
Grant Type	Formula
Grant Purpose	The purpose of this subpart is to improve students' academic achievement by increasing the capacity of States, local educational agencies, schools, and local communities to— (1) provide all students with access to a well-rounded education; (2) improve school conditions for student learning; and (3) improve the use of technology in order to improve the academic achievement and digital literacy of all students.
OSSE Monitoring Requirement	2 CFR §200.331(d)(1-3): All pass-through entities must: (e) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include: (1) Reviewing financial and performance reports required by the pass-through entity. (2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means. (3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by 2 CFR 200.521 Management decision.
Annual Subrecipient Reporting Requirements	Annually ESSA §4106(d) NEEDS ASSESSMENT.—Each local educational agency, or consortium of local educational agencies with an allocation of at least \$30,000 shall conduct the needs assessment once every 3 years. Complete an annual report regarding how funds for this program are being used. (ESEA §4106(e)(2)(F))

<p>Web-Based Resources on Grant Program</p>	<p>This U.S. Department of Education website provides a thorough overview of the Student Support and Academic Enrichment grants, and includes eligibility, non-regulatory guidance, and FAQs:</p> <p>ESSA Non-Regulatory Guidance Student Support and Academic Enrichment Grants</p>
<p>OSSE Contact</p>	<p>Mrs. Bonnie Bacon Supervisory Education Program Specialist Division of Systems and Supports, K-12 Office of the State Superintendent of Education (202) 545-7224 or Bonnie.Bacon@dc.gov</p>

Title V, Part B: Charter Schools Program (CSP) Grant

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

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

Title VII-B: McKinney-Vento Homeless Assistance Act

Grant Name	McKinney-Vento Homeless Assistance
Legal Citation	42 U.S.C. 11432 et seq.
Grant Type	Competitive [Note: Some provisions of the McKinney-Vento Homeless Education Assistance Act apply to all LEAs regardless of whether funding received under this Title.]
Grant Purpose	The purpose of the grant is to provide supplemental funding to help achieve the following: (1) the identification, enrollment, attendance, and success in school of homeless children and youth; and (2) ensure homeless children and youth have equal access to the same free, appropriate public education as provided to all other students. Services provided through this grant cannot replace regular academic programming.
OSSE Monitoring Requirement	<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 style="padding-left: 40px;">(1) Reviewing financial and performance reports required by the pass-through entity.</p> <p style="padding-left: 40px;">(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 style="padding-left: 40px;">(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521 Management decision.</p>
Annual Subrecipient Reporting Requirements	<ul style="list-style-type: none"> • Ongoing homeless student data uploaded and entered into the McKinney-Vento QuickBase (MKV QB) application; which resets annually. Homeless identifications are sent to OSSE via each LEA’s student information system (SIS), and the MKV QB application is used to collect supplementary information of homeless students. Mandatory data that is reported to the Department of Education, which must be populated in the MKV QB application, includes student’s night time residency status (NRS) and unaccompanied youth (UY);

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

OSSE Contact	<p>Mrs. Nicole Lee-Mwandha Homeless Education State Coordinator Community Learning and School Support Cluster Division of Systems and Supports, K-12 (202) 654-6123 or Nicole.Lee-Mwandha@dc.gov</p> <p>Ms. Danielle C. Rollins Homeless Education Program Analyst Community Learning and School Support Cluster Division of Systems and Supports, K-12 (202) 741-0255 or Danielle.Rollins@dc.gov</p> <p>Mr. Tasheen Stallings Homeless Education Program Analyst Community Learning and School Support Cluster Division of Systems and Supports, K-12 (202) 478-5927 or Tasheen.Stallings@dc.gov</p>
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IDEA Part B: Section 611 & Section 619 Summary

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

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

Scholarships for Opportunity and Results (SOAR) Act

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

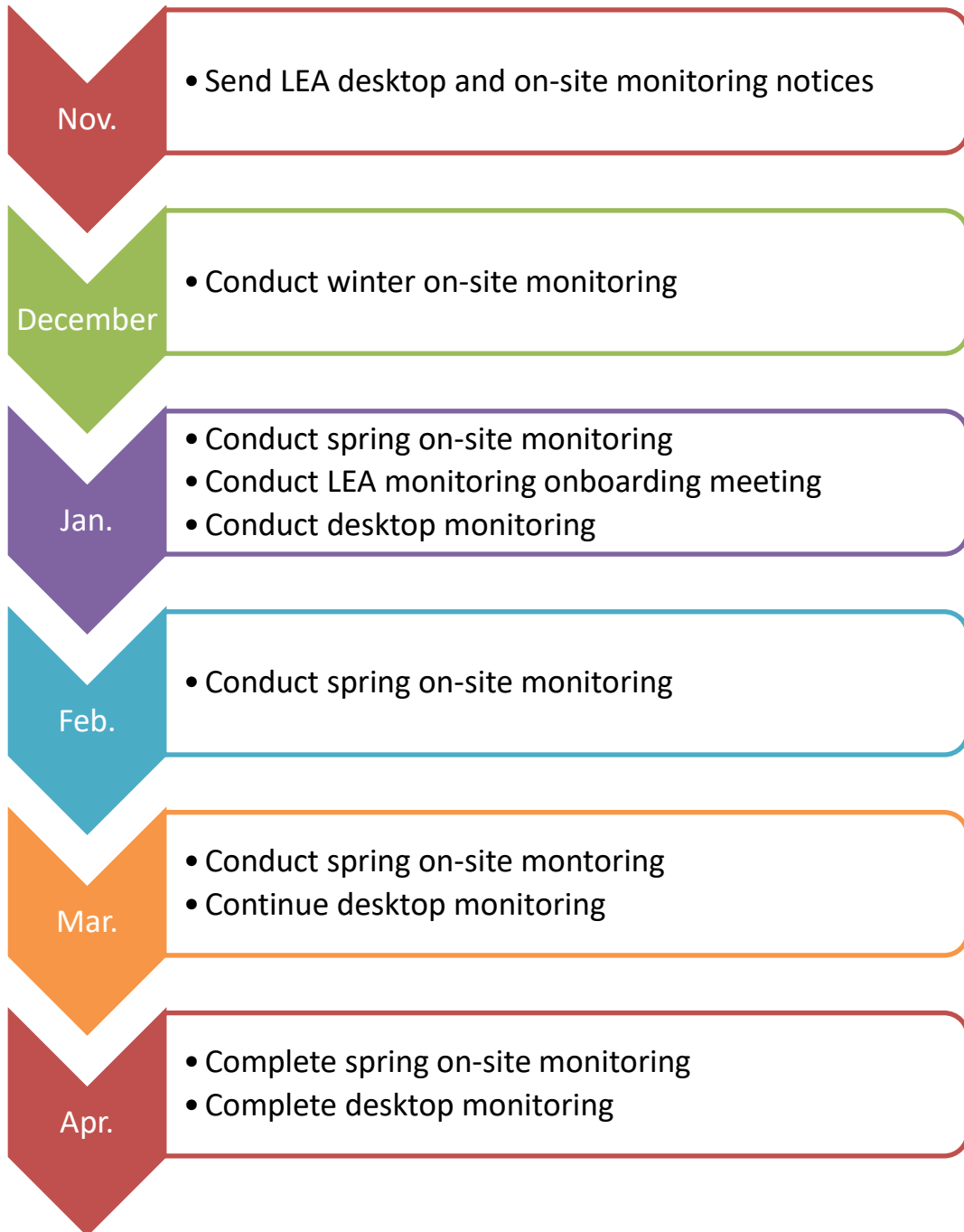
Special Education Enhancement Fund (SEEF) Competitive Grant

Grant Name	Special Education Enhancement Fund (SEEF) Competitive Grant
Grant Website	https://osse.dc.gov/page/special-education-enhancement-fund-seef-competitive-grant
Legal Citation	Special Education Enhancement Fund, DC Code Sec. 38-2613
Grant Type	Competitive/Continuation
Grant Purpose	<p>OSSE’s administration of the Special Education Quality Improvement Amendment Act funding is designed to improve transition from Individuals with Disabilities Education Act (IDEA), Part C (20 U.S. Code §1431 et. seq.) to IDEA Part B (20 U.S. Code §1411 et seq.), timely evaluation and service delivery for children ages 3 to 6, academic outcomes, graduation rates, and post-secondary success of students with disabilities in District of Columbia public schools.</p> <p>Successful applicants will:</p> <ul style="list-style-type: none"> • Demonstrate the need for their project through a needs assessment using relevant data, • Specifically identify the measurable impact of their project, and • Identify the evidence-based practices that will be utilized to achieve the intended results.
OSSE Monitoring Requirement	N/A
Annual Subrecipient Reporting Requirements	<p>Mid-Year Report – All SEEF competitive and continuation grantees must submit a mid-year report to OSSE analyzing their progress and challenges in meeting grant goals.</p> <p>Annual End-of-Year Report – All SEEF competitive and continuation grantees must submit an annual end-of-year report to OSSE analyzing progress in improving outcomes for students with disabilities, based on metrics included in their project goals outlined in their application logic model.</p>

<p>Web-Based Resources on Grant Program</p>	<p>The grant website includes a full list of winners from Cohort 1 and Cohort 2, as well as all applicant resources and links to legal information:</p> <p>https://osse.dc.gov/page/special-education-enhancement-fund-seef-competitive-grant</p>
<p>OSSE Contact</p>	<p>Ms. Ronda Kardash Director, Office of Public Charter School Finance and Support Policy, Planning and Charter Support Cluster Division of Systems and Supports, K-12 (202) 545-7224 or Bonnie.Bacon@dc.gov</p> <p>Ms. Cristi Purnell Senior Financial Analyst Strategic Operations Unit/Fiscal Division of Systems and Supports, K 12 (202) 481-3758 or Cristi.Purnell@dc.gov</p>

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K-12 Annual Monitoring Cycle 2019-20



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DISTRICT OF COLUMBIA
OFFICE OF THE STATE SUPERINTENDENT OF
EDUCATION

Sub-recipient Monitoring Policy

The Public Education Reform Amendment Act (PERAA) of 2007 (D.C. Law 17-9) established Office of the State Superintendent of Education (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 OSSE shall use to monitor federal and local programs implemented by grant sub-recipients, including, but not limited to: local education agencies (LEAs), institutions of higher education, community-based organizations, child care development centers, and other not-for-profit organizations. This policy and the procedures contained herein are subject to changes in applicable federal or local law, regulations, or guidance.

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

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

Hanseul Kang
State Superintendent

Monitoring Policy

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I. DEFINITIONS AND PURPOSE OF MONITORING

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

II. MONITORING CRITERIA

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

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

- Failure to make substantial progress toward grant goals and objectives.

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

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

III. TYPES OF MONITORING ACTIVITIES

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

- A. **Desktop Monitoring:** During desktop monitoring, OSSE performs an intensive review of documents submitted by the sub-recipient or evidence that is otherwise available, in addition to utilizing data submitted by a sub-recipient that is already housed within OSSE's data systems. Desktop monitoring may also include a more comprehensive review of a sub-recipient's fiscal and programmatic activities and records. Desktop monitoring is a tiered monitoring approach that can be as specific as a request for documentation supporting a single reimbursement request or as expansive as a request for a series of quarterly reports or an external audit. Determinations from a desktop monitoring may prompt OSSE to schedule an onsite monitoring.
- B. **Onsite Monitoring:** Onsite monitoring involves a comprehensive assessment conducted by a monitoring team at a site where a program is operating. One or more content area experts from OSSE conduct this assessment on site to evaluate all phases of program and fiscal administration and operations using a monitoring tool aligned with grant requirements. Any sub-recipient selected for annual onsite monitoring activities will be notified at least four weeks in advance and will be informed of any documentation to prepare and/or submit prior to the OSSE monitoring team's visit (commonly referred to as "pre-visit documentation"). OSSE may also conduct onsite monitoring concerning a specific focus area or set of circumstances related to a particular grant. While OSSE has the authority to conduct unannounced visits—and does so—on a case by case basis in consideration of the circumstances, OSSE aims to be as transparent as possible so as to minimize disruption to the academic program when conducting its reviews.
- C. During the onsite review, the monitoring team may perform the following tasks:

- Review selected documentation (e.g. expense reports, local applications, programs of study, curriculum plans) relevant to the grant or program;
- Review student data/student records as they relate to the grant or program;
- Visit classrooms or service areas supported by the grant or program;
- Use expenditure samples to verify and locate equipment purchased;
- Visit location where financial records are kept;
- Request sub-recipient to display their financial management system and provide a walkthrough of how transactions are recorded, reconciled, and tracked;
- Conduct focus group meetings with faculty, staff, students, parents, providers, or other key stakeholders participating in or affected by the grant or program; and/or
- Conduct additional monitoring activities, as needed.

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

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

IV. TYPES OF EVIDENCE REQUESTED

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

- Documentation related to payroll transactions (e.g., a list of employees paid with grant funds; job or position descriptions; time and effort records demonstrating employees worked on grant activities; time and attendance records demonstrating when employee worked; evidence of payroll reconciliations; accounting records indicating how salaries were charged; and/or payment records indicating how salaries were paid);
- Documentation related to procurement (e.g., requisitions; cost estimates; requests for bids, proposals, etc.; copies of bids, proposals, etc. submitted; evaluation documents; purchase orders or contracts; invoices; proof that items

purchased were received; inventory records; and/or review of the excluded parties list);

- Equipment and other asset inventory logs, including evidence that a physical inventory was conducted if appropriate;
- Other expenditure receipts for items purchased under the grant;
- Fiscal documentation showing the sub-recipient is meeting its obligations under EDGAR 34 CFR §§76.730 and 76.731, and/or the CityWide 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 the LEA's response to the Preliminary monitoring report (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 30 calendar days to submit the CAP.

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

implementation of the CAP.

VII. CORRECTIVE ACTION PLAN (CAP)

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

VIII. CONDITIONS/RESTRICTIONS

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

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

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

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

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

corrected.

IX. RESOLUTION OF NONCOMPLIANCE

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

X. DESKTOP AND ON-SITE MONITORING SUMMARY TIMETABLE

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

OSSE Monitoring Activity	Due date
Notification of annual onsite monitoring from OSSE to sub-recipient	4 weeks prior to start of onsite monitoring
Monitoring report from OSSE to sub-recipient (both desktop and onsite monitoring)	Ninety 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 days after receipt of the onsite monitoring report from OSSE
Feedback from OSSE to sub-recipient regarding CAP (if CAP is required)	Thirty 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 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.

2019-20 Consolidated Monitoring Tool



OSSE Consolidated Monitoring Report

Subgrantee:	
Monitoring Date(s):	

Monitoring Results

Grants Monitored:		Met Requirements	Recommendations	Findings of Noncompliance
Fiscal-General	Fiscal			
Individuals with Disabilities Education Act (IDEA) Regulations, Part B	Program			
	Fiscal			
IDEA (Correctional)	Program			
Title I	Program			
	Fiscal			
Title I, Part D	Program			
	Fiscal			
Title II	Program			
	Fiscal			
Title III	Program			
	Fiscal			
Title IV, Part A	Program			
	Fiscal			
Title IV, Part B	Program			
	Fiscal			
Title V, Part B	Program			
SOAR, Academic Quality	Program			
SOAR, Facilities	Program			
McKinney-Vento	Program			
	Fiscal			
SIG	Program			
	Fiscal			
I003	Program			
Special Education Enhancement Fund (SEEF)	Program			

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 on-site visit)
- 6) LEA responds to Preliminary monitoring report (within 10 days of issuance of the Preliminary report)
- 6) Final monitoring report issued (within 90 days of the LEA response to the Preliminary report)
- 7) Correction of noncompliance
- 8) Verification of correction of noncompliance
- 9) Closure of findings of noncompliance

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
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).			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: Financial Management						
1.1	The subgrantee can provide evidence that its financial management system provides for the 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.	2 CFR §200.302(b)(1)	- Screenshots of financial management system, including screenshots showing the identification of awards within the financial management system - Financial management system documentation including the following: 1. Sample accounting journal entry from FY19 that includes transactions using federal grant program funds subject to monitoring; 2. General ledger; and 3. Chart of accounts.			
1.2	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.	2 CFR §200.302(b)(2)	- Fiscal management system documentation requested in Indicator 1.1			
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			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
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).			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.4	The subgrantee can provide evidence that 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)			
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: - Accounting and budgeting practices - Allowability procedures - Cash management procedures - Record retention policies - Methods for collection, transmission, and storage of personally identifiable information			
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			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
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).			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.		
1.8	The subgrantee does not commingle any funding for the programs outlined in Title VIII with non-federal funds (DPCS only).	ESEA §8501(d)(2)(c)		Evidence that the subgrantee has not used non-federal funds for program purchases, which can include: - Financial management system documentation pertaining to the following grants: Title IIA, Title IIIA, Title IVA; including the following: 1. Sample accounting journal entry from applicable fiscal year that includes transactions using federal grant program funds subject to monitoring; 2. General ledger; and 3. Chart of accounts.		
Indicator 2: Compensation for Personnel Services						
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)	-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 - Time and effort documentation as specified in the LEA's policies (e.g., Semi-annual certifications signed by employee/immediate supervisor for personnel funded by grant(s) being monitored or 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
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).			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 FY19 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
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).			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 3: Equipment and Technology/Property Management						
3.1	The subgrantee can provide written property management and control policies that demonstrate how it safeguards all assets, including both equipment and high value and/or mobile items with a purchase price less than \$5,000, and ensures that the assets are used solely for authorized purposes.	2 CFR §200.302(b)(4); 2 CFR §200.313(d)(3)	- Property management policy - Police report(s) for stolen equipment, if applicable			
Indicator 3: Equipment and Technology/Property Management (This section only applies to subgrantees that used the federal grants under review to purchase equipment, computing devices and/or supplies during the program year).						
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(d)(1), 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.		

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<p>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).</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.		
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			
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), 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			

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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 §§200.314	- Property management policy			
Indicator 4: Procurement Standards						
4.1	The subgrantee has, in effect, written purchasing practices and policies.	2 CFR §200.318(a)	- Procurement policy			
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).						
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 200.320	- 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						
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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).			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			

FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
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).			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 FY19 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(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
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).			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 (Charters only) .	2 CFR §200.318(c)(2)	- 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 §§200.213 and 2 CFR 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						
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Indicator 5: Audits/Reports						
5.1	The subgrantee can provide a copy of the single audit/annual financial statement audit for the monitoring period being reviewed. (Example: most recent single audit report) (Applicable to subgrantees that expend at least \$750,000 of Federal funds).	2 CFR §200.501	- On file at OSSE			
5.2	The subgrantee 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 or other written documentation demonstrating that records are kept for 5 years			

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 submitted by the LEA. 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.			
Least Restrictive Environment (LRE) (LEA-level)							
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				
Individual Education Program (IEP) (LEA-level)							
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				
Data (LEA-level)							
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	The subgrantee responds to requests for data in a timely manner.	34 CFR §300.211	- See DC CATS				

IDEA: LEA PROGRAM MANAGEMENT AND ADMINISTRATION

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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.			
Dispute Resolution (LEA-level)							
5	The subgrantee provides information to OSSE regarding State complaints within 10 days of request.	OSSE State Complaint Policy	- See DC CATS				
6	The subgrantee timely implements corrective actions contained in the State complaint decision letter.	34 CFR §§300.600(a), 300.200	- See DC CATS				
National Instructional Materials Accessibility Standards (NIMAS) (LEA-level)							
7	The subgrantee provides instructional materials to blind students or other students with print disabilities.	34 CFR §300.172	- See DC CATS				
Equitable Services (LEA-level)							
8	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).				
STUDENT FILE REVIEW							
Initial Evaluation and Reevaluation (Student-level)							
9	Upon initial referral, or parent request for evaluation, parents were provided procedural safeguards.	34 CFR §300.504(a)(1)	- See DC CATS				
10	The signature for parent consent was obtained prior to the initial evaluation.	34 CFR §300.300(a)	- See DC CATS				
11	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	The signature for parent consent was obtained prior to the date of reevaluation.	34 CFR §300.300(c)(1)	- See DC CATS				
13	A variety of sources were used to determine continued 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.			
Individualized Education Program (IEP) (Student-level)							
14	Parent/student was invited to the most recent IEP meeting.	34 CFR §300.322(a)(1)	- See DC CATS				
15	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				
Individualized Education Program (IEP) (Student-level)							
16	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	The following IEP team members attended the meeting: Regular education teacher Special education teacher LEA designee Evaluation interpreter	300.321(a), 300.321(e)	- See DC CATS				
18	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)	- See DC CATS				
19	In developing each child's IEP, the IEP Team must consider—(i) The strengths of the child; (ii) The concerns of the parents for enhancing the education of their child; (iii) The results of the initial or most recent evaluation of the child; and (iv) The academic, developmental, and functional needs of the child. 34 CFR 300.324(a)	34 CFR §300.324(a), 300.320(a)(1), 300.321(a), 300.321 (e)	- 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-MSAA scores			
20	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)	- 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-MSAA scores			

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.			
21	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"> - 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 				
22	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"> - 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 				
Individualized Education Program (IEP) (Student-level)							
23	File contains evidence that ESY was determined on an individual basis.	34 CFR §300.106(a)(2)	<ul style="list-style-type: none"> - 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 				
24	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"> - 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 	<ul style="list-style-type: none"> - 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	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"> - 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 	<ul style="list-style-type: none"> - 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: 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	The student file 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				
27	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"> - 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 	<ul style="list-style-type: none"> - Work samples - SEDS progress reports - Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments) - PARCC scores - Alt-MSA scores 			
28	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"> - 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	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"> - 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: 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.			
Individualized Education Program (IEP) (Student-level)							
30	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"> - 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 	<ul style="list-style-type: none"> - Work samples - SEDS progress reports - Benchmark Assessments (Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments) - PARCC scores - Alt-MSA scores 			
31	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				
32	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				
33	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				
34	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				
Individualized Education Program (IEP) (Student-level)							
35	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"> - Work samples - SEDS progress reports - Benchmark Assessments (e.g., Read 180, SRI, Lexile Scores, Literacy and Math Benchmark Assessments) - PARCC scores - Alt-MSA scores 			
Indicator 11: Least Restrictive Environment (LRE) (Student-level)							
36	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"> - 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 				
37	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.			
38	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"> - 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 				
39	The student's placement is based on his/her IEP.	34 CFR §300.116(b)(2)	<ul style="list-style-type: none"> - 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 				
Indicator 12: Discipline (Student-level)							
40	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"> - 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	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"> - 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 				

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.		
Indicator 1: IDEA-Specific Fiscal Requirements						
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, 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, 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		

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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.			
Least Restrictive Environment (LRE) (LEA-level)							
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				
Individual Education Program Subgrantee-level)							
2 (DC CATS 2)	Youth who do not attend the regular school because of safety or medical reasons receive comparable services based on their IEP.	34 CFR §§300.301, 300.530(d), and 300.115(b)(1)	- 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				
Data (LEA-level)							
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.			
Teacher Certification							
7 (DC CATS 7)	Special education staff at the school are certified or credentialed by OSSE for the services they provide, in accordance with District of Columbia Regulations.	34 CFR §§300.18 and 300.149(a)(2)(ii)	- Evidence that all special education staff hold the required certification - Teaching certificates				
Dispute Resolution (LEA-level)							
8 (DC CATS 8)	The subgrantee provides information to OSSE regarding State complaints within 10 days of request.	OSSE State Complaint Policy	- See DC CATS				
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				
National Instructional Materials Accessibility Standards (NIMAS) (LEA-level)							
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				
STUDENT FILE REVIEW							
Initial Evaluation and Reevaluation							
11 (DC CATS 12)	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 13)	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 14)	The signature for parent consent was obtained prior to the initial evaluation.	34 CFR §300.300(a)	- See DC CATS				
14 (DC CATS 15)	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 16)	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 17)	A variety of sources were used to determine eligibility.	34 CFR §300.306(c)	- See DC CATS				

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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.			
Individualized Education Program (IEP) (Student-level)							
17 (DC CATS 18)	Parent/student was invited to the most recent IEP meeting.	34 CFR §300.322(a)(1)	- See DC CATS				
18 (DC CATS 19)	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 20)	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 21)	General education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)	- See DC CATS				
21 (DC CATS 22)	Special education teacher, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)	- See DC CATS				
22 (DC CATS 23)	The subgrantee designee, unless excused, attended the IEP meeting.	34 CFR §§300.321(a) and 300.321(e)	- See DC CATS				
23 (DC CATS 24)	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 25)	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 26)	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 28)	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 27)	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 29)	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 35)	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 30)	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 31)	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 32)	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 41)	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 34)	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 36)	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 33)	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 37)	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 38)	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 39)	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				
Indicator 11: Least Restrictive Environment (LRE) (Student-level)							
40 (DC CATS 40)	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 42)	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 43)	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				
Indicator 12: Discipline							
43 (DC CATS 44)	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 45)	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 46)	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
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. Title I Part A: Improving the Academic Achievement of the Disadvantaged: Standards, Assessment and Accountability						
1.1	The 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 complies with the State's requirement of completing the Home Language Survey at initial enrollment to determine if a student is eligible to take an English language proficiency screener.	ESEA §1111(b)	<u>Mandatory Evidence</u> - Three signed and dated copies of the Home Language Survey (one English and two translated versions)			
1.3	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)(2)(G)	<u>Mandatory Evidence</u> - Documentation of how many EL students were not assessed and the reason for not testing - Evidence that EL students referred to other programs were annually assessed on WIDA - Documentation that EL parents were informed of the WIDA testing requirements for all EL students			
Indicator 2. Title I Part A: Improving the Academic Achievement of the Disadvantaged						
2.1	The subgrantee ensures it collaborates with the State and local child welfare agency to develop and implement clear written procedures and practices to ensure educational stability for children in foster care.	ESEA 1111(g)(1)(E)	On file with OSSE	<u>Mandatory Evidence</u> - Evidence of documentation of collaboration with the child welfare agency - Contact information for LEA foster care point of contact. - Copy of MOA		
2.2	The subgrantee has a current approved Local Education Agency Plan with all required components.	ESEA §1112(a)(1)	On file with OSSE	<u>Mandatory Evidence</u> - Examine evidence of consultation with all required stakeholders for the LEA plan. <u>Examples of acceptable evidence:</u> - Invitations/notices of meetings or surveys to solicit input - Agendas, sign-in sheets, minutes from consultation meetings - Revisions to the LEA plan reflecting stakeholder input - Meeting presentation materials (PowerPoint, handouts, etc.) - Sample of documents examined during stakeholder engagement activities - Schedule of stakeholder engagement activities - List of applicable stakeholder groups based on local context		
2.3	The subgrantee ensures that all teachers in Title I schools meet applicable State certification and licensure requirements, including any requirements for certification obtained through alternative routes to certification.	ESEA §§1111(g)(2)(J), 1112(c)(6)	<u>Mandatory Evidence</u> - List of all teachers working in a Title I school - Licensure and/or certification status for listed teachers			
2.4	The subgrantee ensures paraprofessionals in Title I schools meet applicable State certification and licensure requirements, including any requirements for certification obtained through alternative routes to certification.	ESEA §§1112(c)(6), 112(1)(A)(ii)	<u>Mandatory Evidence</u> - List of all paraprofessionals working in a Title I school - Licensure and/or certification status for listed paraprofessionals			

TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.5	The subgrantee notifies parents of their right to request annually information regarding the professional qualifications of their child's teacher. Such notification shall include at a minimum: 1. if their child's teacher met State's certification and licensure requirements for the grade levels and subject area in which the teacher provides instruction; 2. if their child's teacher is teaching under emergency or other provisional status through which State qualification or licensing criteria have been waived; and 3. if their child's teacher is teaching in the field of discipline of the certification of the teacher.	ESEA§1112(e)(1)(A)(i)(I-III)	<u>Mandatory Evidence</u> -Two copies of the parent notification letter, dated at the beginning of the school year, sent to parents notifying them of their right to request teacher qualification information (one in English and one translated version)	<u>Mandatory Evidence</u> - A copy of requests for information from parents on teacher and/or paraprofessional qualifications, if applicable - Parent notification letters regarding teacher certification or licensure status, as applicable - Communications/notifications to parent about teacher/paraprofessional qualifications (e.g., newsletter, memo, letter, school calendars, etc.)		
2.6	The subgrantee ensures that it provides information to each individual parent information on the level of achievement and academic growth of their student on each of the State academic assessments required under this part, if applicable and available.	ESEA §1112(e)(1)(B)(i)	<u>Mandatory Evidence</u> - Sample of ten student PARCC reports sent to parents in a language that parents can understand (samples must include both English and translated versions) - Description of method of delivery to parent			
2.7	The subgrantee ensures it has a written process and timeline to notify parents if their child has been assigned, or has been taught for 4 or more consecutive weeks by a teacher who does not meet applicable State certification or licensure requirements at the grade level and subject area in which the teacher has been assigned.	ESEA§1112(e)(1)(B)(ii)	<u>Mandatory Evidence</u> -Two copies of dated parent notification letters regarding when their child has been assigned a teacher or substitute for four or more consecutive weeks who does not meet the State's certification and licensure requirements at the assigned grade level (one English and one translated version).			
2.8	The subgrantee ensures that within 30 calendar days of the start of the school year OR within two weeks of a placement for students who enroll after the start of the school year, parents are notified of an English learner identified for participation or participating in a language instruction educational program (LIEP). The parent notification must include all seven statutorily required elements.	ESEA 1112(e)(3)(A)(i-vii), 1112(e)(3)(B)	<u>Mandatory Evidence</u> -Two copies of notifications sent to parents that include all seven statutory requirements (one English and one translated version). -Two copies of notifications that are sent to parents for a child with a disability, if applicable (one English and one translated version).	<u>Mandatory Evidence</u> -EL student enrollment and identification dates - Presentation materials from parent meeting related to EL identification, EL programming, and parents' rights (e.g., discussion or talking points, template or conversation guide, list of questions, PPT)		
2.9	The subgrantee implements an effective means of outreach to parents of ELs on how they can be involved in the education and be active participants of their children in the parent's native language.	ESEA §1112(e)(3)(C)(i)	<u>Mandatory Evidence</u> - Copy of a communication log (English version) - Translated documents or flyers (English and translated versions) - Translated school improvement team invitation letter/flyer sent to parents of ELs and sign-in sheet, if applicable (Translated versions) - Copy of interpreter receipt, if applicable (English version)			
2.10	The subgrantee holds regular meetings and sends parents of ELs notices of such meetings for the purpose of: 1. Formulating and responding to recommendations from parents; 2. Informing parents how to actively participate in the education of their child; 3. Informing parents how to be informed of decision related to services provided to ELs.	ESEA §1112(e)(3)©	<u>Mandatory Evidence (one English and one translated version for each)</u> -Agendas, sign-in sheets, minutes, or materials shared during opportunities for involvement. - Communication related to opportunities for parents/families of ELs participation. - Presentation materials from parent meetings and/or events related to supporting ELs with language attainment and academic needs (e.g., discussion or talking points, list of questions, PPT, resources provided).			

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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.		
2.11	<p>Schoolwide Program Schools: The subgrantee ensures that schools develop and implement a compliant schoolwide plans that includes the following statutory components:</p> <ol style="list-style-type: none"> 1. Comprehensive Needs Assessment 2. Schoolwide Reform Strategies 3. Parent, Family and Stakeholder Engagement 4. Evaluation 5. If applicable, Coordination and Integration of Federal, State, and Local services and programs. 	ESEA §§1114(b)	<p><u>Mandatory</u></p> <ul style="list-style-type: none"> - Documentation that plan was developed in a one year period (unless otherwise exempted by the law) for sample schools identified by the LEA from each applicable grade span. - Schoolwide plan - Needs assessment used to inform schoolwide plan - 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.) - Documentation of evaluation of the prior year's schoolwide plan or plan to evaluate current schoolwide plan - Documentation of the coordination and integration of federal, State and local funds, if appropriate and applicable - 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 			
2.11 CONTD	<p>Schoolwide Program Schools: The subgrantee ensures that schools develop and implement a compliant schoolwide plans that includes the following statutory components:</p> <ol style="list-style-type: none"> 1. Comprehensive Needs Assessment 2. Schoolwide Reform Strategies 3. Parent, Family and Stakeholder Engagement 4. Evaluation 5. If applicable, Coordination and Integration of Federal, State, and Local services and programs. 		<p><u>Examples of acceptable evidence</u></p> <ul style="list-style-type: none"> - Agendas, sign-in sheets, notes, planning documents - Schoolwide plan revisions (e.g., adjustments that were made or plan to be made to the plan to address students not making progress) - Student data analysis (e.g., tools or processes to identify the strengths and needs of students, teachers, school and community) - Evidence of interviews, focus groups, or surveys - Meeting/event presentation materials (e.g., PowerPoint, handouts, discussion or talking points, list of questions, PPT, resources provided). -Written communication, including email, letters, newsletters, website 			
2.11(a)	The subgrantee's schoolwide program plan is developed with the involvement of parents and other members of the community.	ESEA §§ 1114(b)(2), 1116(c)(3)	Evidence used for Parent, Family and Stakeholder Engagement in Indicator 2.11 will be used to determine compliance.			
2.11(b)	The subgrantee ensures all schoolwide plans and its implementation is regularly monitored and revised as necessary based on student needs.	ESEA §1114(b)(3)	Evidence used for Schoolwide Reform Strategies and Evaluation in Indicator 2.11 will be used to determine compliance.			
2.11(c)	The LEA ensures it has a process for making the Schoolwide plan available to the LEA, parents, and the public.	ESEA §1114(b)(4)	Evidence used for Parent, Family and Stakeholder Engagement in Indicator 2.11 will be used to determine compliance.			
2.12	<p>Targeted Assistance Schools: The subgrantee ensures it has a written process for:</p> <ol style="list-style-type: none"> 1. developing, implementing, and monitoring requirements in all targeted assistance schools including a timeline for identifying eligible students who are at most in need of services, who are failing, or at risk of failing to meet the State's challenging student academic achievement standards; and 2. how students are ranked for multiple academic selection criteria. 	ESEA §§1115(b), 1115(c)(1)(B)	<p><u>Mandatory Evidence</u></p> <ul style="list-style-type: none"> - Description of process for determining eligible students and selection of the students that will participate in program <p><u>Examples of acceptable evidence</u></p> <ul style="list-style-type: none"> - Copy of multiple educationally related, objective criteria used to identify students - Analysis of student data used to determine eligibility 	<p><u>May be requested on-site by OSSE</u></p> <ul style="list-style-type: none"> - Documentation showing selection of most needy students served by grade and subject area. - A detailed analysis of all student subgroups - Schedule with dates for regular review of Targeted Assistance program - Examples of how the data is being used by administration, teachers and parents to guide decisions and instruction. - Exit criteria by the school -Tools or processes to identify the strengths and needs of students, teachers, school and community. - Qualitative and quantitative data collected, including culture/climate, demographics, student performance, student attendance, behavior, and family and community involvement. - As needed, evidence of interviews, focus groups, or surveys. 		

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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.13(a)	The subgrantee ensures that schools develop and implement a compliant Targeted Assistance program that includes the following seven components: 1. Use program's resources to help eligible children meet the state's challenging academic standards; 2. Use methods and instructional strategies to strengthen the academic program of the school; 3. Coordinate with and support the regular educational program which may include services to preschool children in the transition from early childhood programs; 4. Provide Professional Development; 5. Strategies to increase the involvement of parents of eligible children; 6. If appropriate and applicable, coordinate with Federal, State, and local programs;	ESEA 1115(b)(2)(A-G)	<u>Mandatory Evidence</u> - Targeted Assistance Program Plan ("Plan") - Evidence of Plan implementation <u>Examples of acceptable evidence</u> - Schedules of academic services, expanded learning time opportunities, before-and after-school programming, and summer programs opportunities - Documents supporting implementation of behavioral management system - Documents (agenda, sign-in sheets, etc.) from professional development - Documents (agenda, sign-in sheets, etc.) from parent and family engagement			
2.13(a) CONT'D	7. Each Title I Targeted Assistance School will provide the LEA assurances that it will: (i) help provide an accelerated, high quality curriculum; (ii) minimize the removal of children from the regular classroom during regular school hours for instruction provided under this part; and (iii) on an ongoing basis, review the progress of eligible children and revise the targeted assistance program under this section, if necessary, to provide additional assistance to enable such children to meet the challenging State academic standards.	ESEA 1115(b)(2)(A-G)	<u>Mandatory Evidence</u> - Assurances provided by school(s) to LEA			
2.14	The subgrantee ensures that the progress of children participating in a Targeted Assistance program is reviewed on an ongoing basis and programs are revised if necessary to provide additional assistance to eligible children.	ESEA 1115 (b)(2)(G)(iii)		<u>May be requested on-site by OSSE</u> -Schedules with dates for regular review for Title I Targeted Assistance school. -Documentation of data review meetings -Documentation of program adjustments based on data review and progress monitoring - Student progress monitoring (evidence of progress/lack of progress)		
2.15	Within subgrantee Allocation Procedures. 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. (DCPS only)	ESEA §1113(a)(3)	On file at OSSE			
2.16	The subgrantee ensures that Title I funds support a coordinated effort to address the needs of homeless students, in accordance with the McKinney-Vento Homeless Education Act.	ESEA §1113(c)(3)(A)(i)		<u>Mandatory Evidence</u> -Email or written communication regarding need of homeless students and families -Consultation Meetings with the Homeless Education Liaison		□

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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.17	The subgrantee ensures that it uses a method for determining the homeless reservation set-aside, whether by a needs assessment or some other method (e.g., past homeless student enrollment and support services cost data), and how the liaison was consulted or involved in that process. (DCPS only)	ESEA §§1113(c)(3)(A)(c)(i)		<u>Mandatory Evidence</u> -Collaboration meetings to determine the reservation (i.e., meeting agendas, minutes, etc.) -Written/email communication with homeless education coordinator (or liaison), family involvement coordinator, finance office, etc.		
2.18	The subgrantee ensures it has a process to develop jointly with, agree on with, and distribute to parents and family members of participating children, a written parent and family engagement policy that meet statutory requirements, to include: 1. LEA Title I Parent and Family Engagement Policy; and/or 2. School-Level Title I Parent and Family Engagement policy.	ESEA §§1116(a)(2), 1116(b), 1116(c)	<u>Mandatory Evidence</u> - Dated LEA parent and family engagement policy - Dated school-level parent and family engagement policy	<u>Mandatory Evidence</u> Evidence of input from parents/families (must provide at least three artifacts from the list below): -Notes from parent meetings -Announcement fliers -Parents feedback -Translated documents -Receipts for accommodations/interpreters Evidence LEA and/or school's parent and family engagement policy is distributed and available for parents (must provide at least three artifacts from the list below): -District/school website -Student Handbook -School newsletters -Policy sent home with orientation packet		
2.18(a)	The subgrantee's parental and family engagement policy are developed with meaningful consultation with parents and the policy is distributed in a uniform manner in languages understandable to the parents the policy is updated periodically to meet the changing needs of parents and the school.	ESEA §§1116(a)(2), 1116(b), 1116(c)	<u>Mandatory Evidence</u> - Dated subgrantee LEA-level parent and family engagement policy for current year - Agendas, sign in sheets and meeting minutes documenting parents involvement 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 the use of funds for parental involvement - Results of parent surveys - Translated documents, announcements, and fliers	<u>Mandatory Evidence</u> - Dated school-level parent and family engagement policy for monitoring year: - One per elementary, middle, and high school level, if applicable -Dated School Parent Compact (DCPS only)		
2.18(b)	The LEA ensures it has a written process for monitoring the implementation of Parent and Family Engagement requirements in Title I schools.	ESEA 1116(a)(2)(B) (Charters and DCPS) ESEA 1116(e)(1-14) (DCPS)	<u>Mandatory Evidence</u> -Agendas, minutes, sign-in sheets from technical assistance and training			
2.18(c)	The LEA ensures that it conducts, with the meaningful involvement of parents and family members, an annual evaluation of the content and effectiveness of the LEA's parent and family engagement policy and uses evaluation findings to design evidence-based strategies for more effective parental involvement and plan revisions.	ESEA §1116(a)(2)(D-E)	<u>Mandatory Evidence</u> - Agendas, meeting minutes or communications regarding policy evaluation - Revised policies indicating changes as a result of studying effectiveness - Summary of evaluation results			

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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.18(d)	<p>(DCPS only) 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:</p> <ol style="list-style-type: none"> 1. 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; 2. 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; 3. 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; 4. 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; 	ESEA §1116(e)(1-6)	<p><u>Mandatory Evidence</u> Evidence to support (#1, 2, 3, 5, 6) of the following from the OSSE identified schools (schools will be identified at least four weeks prior to monitoring):</p> <ul style="list-style-type: none"> - 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. <p>Evidence to support (#4):</p> <ul style="list-style-type: none"> - Copy of a communication log - Copy of interpreter receipt - Translated documents or flyers - If applicable, translated school improvement team invitation letter/flyer sent to parents of ELs and sign-in sheet. 			
2.18(d) CONTD	<ol style="list-style-type: none"> 5. 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 6. Provided such other reasonable support for parental involvement activities under this section as parents may request. 					
2.18(e)	<p>The subgrantee ensures that each school in the LEA or a school convenes an annual meeting, at a time convenient for parents to inform them of their:</p> <ol style="list-style-type: none"> 1. School's requirements and participation in the Title I, Part A programs; 2. Rights to be involved in those programs; 	ESEA §§1116(c)(1), (c)(2)	<p><u>Mandatory Evidence</u></p> <ul style="list-style-type: none"> - Communication sent to parents and families in advance of annual meeting with options for different meeting times - Meeting agendas, attendance, and minutes for involvement of parents in meetings regarding the planning, evaluation of, or improvement of the school's Title I programs - Meeting/event presentation materials shared when engaging parents and the community (e.g., PowerPoint, handouts, discussion or talking points, list of questions, PPT, resources provided) 	<p><u>Mandatory Evidence</u></p> <ul style="list-style-type: none"> - Agendas, meeting minutes, sign-in sheets, exit tickets or record of parent attendance and feedback for sampled school's Annual Title I meeting - Presentation materials that indicate parents were informed of their rights, asked for feedback on the Title I program and told how to offer feedback and complaints - Meeting notices in multiple modes or languages, as applicable - Documentation related to any funds used for parental involvement (transportation, child care, etc.) - Documentation of home visits, if applicable 		
2.18(f)	<p>The subgrantee ensures that parents and family members of children participating in Title I services are involved in the decisions regarding how funds reserved are allotted for parent and family engagement activities (only for subgrantees that receive \$500,000 or more in Title I funds).</p>	ESEA §1116 (a)(3)(A)	<p><u>Mandatory Evidence</u></p> <p>Evidence of parent and family input in the decisions regarding parent and family engagement reservation:</p> <ul style="list-style-type: none"> - Announcements/Fliers - Parents Feedback - Translated documents - Receipts for accommodations/interpreters 			

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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.19	The subgrantee ensures that all Title I schools, to the extent practicable, provide full opportunities for the participation of parents with limited English proficiency, parents with disabilities, and parents of migratory children.	ESEA §1116(f)	<u>Mandatory Evidence</u> - Translated documents/announcements/fliers - Receipts for accommodations/interpreters			
Indicator 3. Title I Part A: Equitable Services						
3.1	The subgrantee has consulted with appropriate private school officials during the design and development of the program to deliver equitable services on topics including: (A) how the children's needs will be identified; (B) what services will be offered; (C) how, where, and by whom the services will be provided; (D) how the services will be academically assessed and how the results of that assessment will be used to improve those services (E) the size and scope of the equitable services to be provided to the eligible private school children, and the proportion of funds that is allocated under subsection (a)(4) for such services; (F) the method or sources of data that are used under subsection (c) and section 1113(c)(1) to determine the number of children from low-income families in participating school attendance areas who attend private schools; (G) how and when the agency will make decisions about the delivery of services to such children, including a thorough consideration and analysis of the views of the private school officials on the provision of services through a contract with potential third-party providers (H) how, if the agency disagrees with the views of the private school officials on the provision of services through a contract, the local educational agency will provide in writing to such private school officials an analysis of the reasons why the local educational agency has chosen not to use a contractor	ESEA § 1117(b)(1)(A) - (L); 1117(b)(4)	<u>Mandatory Evidence</u> Evidence that the subgrantee has consulted with appropriate private school officials during the design and development of the program to deliver equitable services. <u>Examples of acceptable evidence</u> - Letters of intent to participate - Individual consultation meeting documentation, which may include multiple program review dates - Detailed services delivery plan			
3.1 CONT'D	(I) whether the agency shall provide services directly or through a separate government agency, consortium, entity or third-party contractor; (J) whether to private equitable services to eligible private school children— (i) by creating a pool or pools or funds with all of the funds allocated under subsection (a)(4)(A) based on all the children from low-income families in a participating school attendance area who attend private schools; or (ii) in the agency's participating school attendance area who attend private schools with the proportion of funds allocated under subsection (a)(4)(A) based on the number of children from low-income families who attend private schools; (K) when, including the approximate time of day, services will be provided; and (L) whether to consolidate and use funds provided under subsection (a)(4) in coordination with eligible funds available for services to private school children under applicable programs as defined in section 8501(b)(1) to provide services to eligible private school children participating in programs.					

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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
3.2	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)(3)	<u>Mandatory Evidence</u> Evidence that the subgrantee has conducted timely and meaningful consultation prior to making any decisions regarding the plan, design, and implementation of services. <u>Examples of acceptable evidence</u> - Letters of intent to participate - Individual consultation meeting documentation, which may include multiple program review dates - Detailed services delivery plan			
3.3	The subgrantee continues to consult with appropriate private school officials throughout the implementation and assessment of the equitable services programming.	ESEA §1117(b)(3)	<u>Mandatory Evidence</u> Evidence that the subgrantee continued to consult with appropriate private school officials throughout the implementation and assessment of equitable services programming. <u>Examples of acceptable evidence</u> -Individual consultation meeting documentation, which may include multiple program review dates -Detailed services delivery plan			
3.4	The subgrantee maintains a written affirmation signed by officials of each participating school that the meaningful consultation required by ESEA §1117(b) has occurred. If private school officials do not provide such affirmation to the subgrantee, the subgrantee has sent documentation of its consultation efforts to the SEA. (DCPS Only)	ESEA §1117(b)(5)	<u>Mandatory Evidence</u> Evidence that the subgrantee has a record of a written affirmation signed by officials of each participating school that the meaningful consultation required by ESEA §1117(b) has occurred, which must include: - Individual consultation meeting documentation - Written documentation that the schools were informed of the opportunity to participate and declined, for schools that choose not to participate			
3.5	The subgrantee maintains documentation of academic assessments for all services to private school students and modifies services, as necessary, as a result of the assessment.(DCPS Only)	ESEA §1117(b)(1)(D)	<u>Mandatory Evidence</u> Evidence that the services have been academically assessed and modified as necessary as a result of the assessment. <u>Examples of acceptable evidence</u> - Summary of evaluation results - Documentation of meetings with appropriate private school officials that show the evaluation results were discussed and used to make changes to service delivery as needed			
3.6	The subgrantee provides services in a timely manner that is equitable to the time at which services begin for public school students. (DCPS Only)	ESEA §1117(a)(3)(A)	<u>Mandatory Evidence</u> Evidence that the subgrantee provides services in a timely manner that is equitable to the time at which services begin for public school students. <u>Example of acceptable evidence</u> -Detailed services delivery plan			
3.7	The subgrantee provides services and other benefits in a manner that is equitable in comparison to services and benefits for public school children. (DCPS Only)	ESEA §1117(a)(3)(A)	<u>Mandatory Evidence</u> Evidence that the subgrantee provides services and other benefits in a manner that is equitable in comparison to services and other benefits provide to public school children. <u>Example of acceptable evidence</u> -Detailed services delivery plan			

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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
3.8	The subgrantee has informed participating private schools of their right to file a complaint with the SEA's Equitable Services Ombudsman. (DCPS Only)	34 CFR § 299.11	<p><u>Mandatory Evidence</u> Evidence that the subgrantee has informed participating private schools of their right to file a complaint with the SEA's Equitable Services Ombudsman.</p> <p><u>Example of acceptable evidence</u> -A copy of the equitable services handbook that includes this policy, and meeting agendas or notes that show this handbook was distributed and discussed.</p>			
3.9	If the subgrantee disagrees with the views of private school officials with respect to an issue described in paragraph §1117(b)(1), the subgrantee shall provide in writing to such private school officials the reasons why the local educational agency disagrees. (DCPS Only)	ESEA §1117(b)(2)	If applicable, copy of written communication to private school official about issue of disagreement.			
3.10	The subgrantee ensures that teachers and families participate in the services and activities developed pursuant to the requirements for family engagement under ESEA 1116. (DCPS Only)	ESEA §1117(a)(1)(B)	<p><u>Mandatory Evidence</u> Evidence that teachers and families participate in the services and activities developed.</p> <p><u>Examples of acceptable evidence</u> - Meeting agendas with matching sign-in sheets - Communications advertising events and activities - Communications between the school and the parents/guardians of participating students</p>			
3.11	The subgrantee implements a monitoring process that ensures the program is in compliance with applicable federal requirements and performance expectations are being achieved. (DCPS Only)	34 CFR §200.328(a)		<p><u>Mandatory Evidence</u> Evidence that the subgrantee implements a monitoring process that ensures the program is in compliance with applicable Federal requirements and performance expectations are being achieved</p> <p><u>Examples of acceptable evidence</u> - Copy of the monitoring schedule - Copy of the blank monitoring form - Samples of completed monitoring forms - Copies of correspondence or meeting notes that show that corrections to the program were made, as needed, as a result of the monitoring process</p>		
3.12	The subgrantee ensures that services or other benefits, including materials and equipment, that is secular, neutral, and non-ideological. (DCPS Only)	ESEA §1117(a)(2)		<p><u>Mandatory Evidence</u> Evidence that services, materials, and equipment are used for secular, neutral, and non-ideological instruction.</p> <p><u>Examples of acceptable evidence</u> - Samples of curriculum - Samples of academic exercises/activities - Lesson plans - Completed monitoring forms</p>		
3.13	The subgrantee ensures that service providers (employees of the LEA or employees of a third party contractor) provide the services that the subgrantee agreed to provide through consultation with appropriate private school officials. (DCPS Only)	ESEA §1117(b)(1)(I), ESEA §1117(d)(2)(A)		<p><u>Mandatory Evidence</u> Contracts for each service provider and employment agreements for equitable services, as appropriate, that outlines services which will be provided.</p>		
3.14	The subgrantee ensures that service providers (employees of the LEA or employees of a third party contractor) are independent of private schools and religious organizations. (DCPS Only)	ESEA §1117(d)(2)(B)		<p><u>Mandatory Evidence</u> Contracts for each service provider and employment agreements for equitable services, as appropriate that shows the employees are independent of private schools and religious organizations</p>		
3.15	The subgrantee complies with requirements for the calculation of poverty data, including proof that this calculation is completed at least every two years. (DCPS Only)	ESEA §1117(a)(4)(D), ESEA §1117(c)(1)(A-D)		<p><u>Mandatory Evidence</u> Description of the methodology used to calculate poverty data</p>		

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			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
3.16	The subgrantee complies with requirements for ensuring that the funding allocated for equitable services is equal in proportion to the funds allocated to public schools. (DCPS Only)	ESEA §1117(a)(4)(A)(i)	On file at OSSE			
3.17	The subgrantee complies with requirements for ensuring that calculation of the equitable services budget is made prior to any allowable expenditures or transferring any funds. (DCPS Only)	ESEA §1117(a)(4)(A)(ii)	On file at OSSE			
3.18	The subgrantee ensures that the funds allocated to private schools are obligated in the fiscal year for which the funds are received by the agency.(DCPS Only)	ESEA §1117(a)(4)(B)	<u>Mandatory Evidence</u> Evidence that shows the funds allocated to private schools are obligated in the fiscal year for which the funds are received by the agency.			
3.19	The subgrantee complies with requirements for selecting children to receive equitable services that aligns with §1115(c), including those students who are most academically at risk, children with disabilities, migrant children, English language learners, neglected or delinquent, or experiencing homelessness.(DCPS Only)	ESEA §1117(a)(1)(A)		<u>Mandatory Evidence</u> - Documentation of method used to select children to receive equitable services from within the pool of residentially-eligible students		
3.20	The subgrantee ensures that service providers for equitable services are under the control and supervision of the subgrantee. (DCPS Only)	ESEA §1117(d)(2)(B)		<u>Mandatory Evidence</u> - Evidence that all service providers are under the control and supervision of the subgrantee. <u>Examples of acceptable evidence</u> - A description of the process used to supervise service providers that includes: how often monitoring occurs, and who participates in monitoring - Monitoring schedule - Samples of completed monitoring forms that indicate the quality of the service provider's performance - Minutes from meetings with private school officials and service providers that indicate discussion of service provider performance, and corrections to performance as necessary		
3.21	If the subgrantee uses employees of the LEA to provide services to private school students, the subgrantee ensures that they meet state standards.(DCPS Only)	ESEA §1111(g)(2)(J)		<u>Mandatory Evidence</u> - Evidence that all service providers directly employed by the LEA meet state standards. <u>Example of acceptable evidence</u> - Teaching certificates		
3.22	The subgrantee maintains control of the Title I funds, materials, equipment and property that support services to private school children.(DCPS Only)	ESEA §1117(d)(1)		<u>Mandatory Evidence</u> - Documentation that the subgrantee maintains control of the Title I funds, materials, equipment and property that support services to private school children <u>May be requested by OSSE on-site</u> - Inventory check list - Title Program Equipment Assessment Form - Description of the oversight process - Record for tracking expenditures through the reimbursement process (e.g. workbook submissions) - Sample letters, invoices, and individual tracking - If applicable, allocations documentation		
3.23	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; (2) can be removed from the private school without remodeling the private school facility. (DCPS Only)	34 CFR §§76.661(c)(2), 299.10		<u>Mandatory Evidence</u> - Description of policy for tagging/labeling, inventorying, and locating equipment purchased with grant funds <input type="checkbox"/> - Samples of completed monitoring form that indicate an assessment of private school's compliance with the equipment policy <input type="checkbox"/>		

TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 4. Title I Part A: Early Childhood Engagement (Applicable to LEAs that serve Early Childhood Grades PK3 - K)						
4.1	The subgrantee has developed an agreement with Head Start agencies and, if feasible, other entities carrying out early childhood development programs.	ESEA §1119(a)	On file with OSSE			
4.2	The subgrantee's enrollment packet for parents of incoming students includes a question noting which early childhood development program the parent's child attended, if any (whether a Head Start Agency or another program).	ESEA §1119(b)(1), Citywide MOA pp. 7-8	<p><u>Mandatory Evidence</u></p> <ul style="list-style-type: none"> - LEA enrollment packet which includes a question asking for student's previous early childhood program, if any <p><u>Examples of acceptable evidence</u></p> <ul style="list-style-type: none"> - Online link to LEA enrollment website - Copy of electronic enrollment packet completed by parent - Hard copy enrollment packet completed by parent 			
4.3	The subgrantee 1) meets at least annually with the DC Head Start Association (representing all DC HSAs) to discuss programs and the transition process, 2) meets annually with other early childhood development programs, if feasible, to discuss programs and the transition process; and 3) publicly posts the LEA's transition policy and/or any requirements for new pre-K and kindergarten students.	ESEA §1119(b)(2), Citywide MOA p. 11	<p><u>Mandatory Evidence</u></p> <ul style="list-style-type: none"> - Public posting of LEA's transition policy and/or requirements for new pre-K and kindergarten students, including URL with publicly available links to LEA's transition policy and/or requirements (links are on file at OSSE as of 3/29/19 - LEA may provide updated submission) 	<p><u>Mandatory Evidence</u></p> <ul style="list-style-type: none"> -Evidence that the subgrantee met at least annually with DCHSA and/or other early childhood programs to discuss programs. <p><u>Examples of acceptable evidence</u></p> <ul style="list-style-type: none"> - Sign-in sheets - Subgrantee notes - Meeting/event presentation materials (e.g., PowerPoint, handouts, discussion or talking points, list of questions, PPT, resources provided) 		
4.4	Subgrantee completes at least one of the following: <ul style="list-style-type: none"> • Provide OSSE and emails Head Start Agencies and other early childhood development program points of contacts as early as possible, but with at least 14 calendar days' notice if feasible, the dates of open houses, playdates, summer academy or transition events for the upcoming school year for confirmed enrolled students; • Publicly post parent teacher organization (PTO) or other meetings that new or prospective parents may join; • View incoming students' transition packets, portfolios or other data on their accomplishments and needs, to the extent such data are provided by parents, HSAs and other early childhood development programs or through a secure OSSE data system, and contact early childhood development program staff to discuss individual student needs as needed; • Conduct meetings involving parents, kindergarten or elementary school teachers and Head Start teachers or, if appropriate, teachers from other early childhood education programs, to discuss the developmental and other needs of individual children; and/or • Provide translation and/or interpretation services to support meetings and communications with the families, as needed. 	ESEA §1119(b)(3), Citywide MOA p. 12	<p><u>Mandatory Evidence (Subgrantee must provide at least one from the list below)</u></p> <ul style="list-style-type: none"> - Publicly available links to open houses or other transition events (on file with OSSE My School DC website) or emails to families of enrolled students transitioning from Head Start or other early childhood programs - Publicly post PTO or other meetings for new or prospective parents via web link - Evidence of LEA agendas, notes, presentations, or file review of incoming students' transition packets or other data (if available) - Evidence of meetings involving parents, kindergarten or elementary school teachers and Head Start teachers and, if appropriate, teachers from other early childhood education programs, to discuss the needs of individual children. Documentation may include meeting sign-in sheets, LEA notes or presentations. 			
4.5	The subgrantee participates in at least two early childhood joint professional events annually with Head Start or other early learning program staff. Participants must include at least one staff member per LEA, which may include a leadership team member or an early childhood development program coordinator. Additional stakeholders could include teachers, parents, non-teaching staff and additional LEA and HSA leadership team members."	ESEA §1119(b)(4), citywide MOA pp. 14-15	<p><u>Mandatory Evidence</u></p> <ul style="list-style-type: none"> -Evidence of LEA attendee(s) attending two or more joint professional development events with early childhood programs. Documentation must include sign-in sheets or online attendance <p><u>Examples of acceptable evidence</u></p> <ul style="list-style-type: none"> - If applicable: LEA-Head Start or other early learning program jointly developed training agendas, meeting notes, draft or final guidance materials, etc. demonstration of a joint planning or coordination effort such as executing a joint training or establishing shared guidance around a topic of mutual interest. 			

TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
4.6	<p>The subgrantee shares resources and strategies with Head Start agencies and to the extent possible with other early childhood programs on standards, curriculum and instruction, which may include one of the following:</p> <ul style="list-style-type: none"> - Organize and/or participate in joint professional development on DC CCELS, Common Core State Standards in reading and math, science, arts, the WIDA English Language Development Standards/Early English Language Development Standards, and/or other applicable DC educational standards and how to effectively use curriculum to meet such standards; - To the extent possible, work directly with the HSAs or early childhood development programs from which a majority of entering students come, to align individual lessons or curriculum activities that meet the aligned standards; - To the extent possible, share facilities for professional development in cases where scheduling, location and legal requirements may allow; and/or - To the extent possible, send a literacy coach, math coach or similar instructional leader to the HSAs (or other early childhood development program if feasible) to explain expectations for literacy at the LEA and help improve alignment and coordination between HSAs and other early childhood development programs and the LEA. 	ESEA §1119(b)(5), citywide MOA pp. 16-17	<p><u>Mandatory Evidence</u></p> <ul style="list-style-type: none"> - Sign-in sheets, meeting notes, and materials demonstrating LEA participation in curriculum and instruction-related joint trainings or meetings with Head Start or other early childhood programs; - Examples of lessons, curricula, or unit plans aligned with the Head Start program sending the most students to the LEA; - Meeting agendas, materials, and sign-in sheets from meetings or coaching sessions in which the LEA sends an academic coach or other instructional leader to the early childhood education program to explain academic expectations at the LEA and help improve alignment and coordination between early childhood development programs and the LEA; and/or - Other examples of sharing resources and strategies on standards, curriculum, and instruction. 			

TITLE I, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 5. General Grants Management Administration (Program)						
5.1	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)			
5.2	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
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: Specific Fiscal Requirements						
1.1-F-TitleI	Comparability: 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 (DCPS only).	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	DCPS only: Supplement Not Supplant (school-level expenditures): 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: https://osse.dc.gov/page/new-essa-fiscal-requirements-supplement-not-supplant-and-maintenance-effort-update	ESSA §1118(b)(2)	<u>Mandatory Evidence</u> - Written methodology demonstrating a neutral allocation of state and local funding to schools within the LEA, regardless of each school's Title I status. Sample evidence of school allocations in multiple grade spans that demonstrate implementation of the methodology.			
1.4-F-TitleI	DCPS only: Supplement Not Supplant (LEA-level expenditures): 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.	ESSA §1118(b)(2)	<u>Mandatory Evidence</u> -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.			
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		<u>Mandatory Evidence</u> - 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		<u>Mandatory Evidence</u> - Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		

TITLE I, PART A: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.7-F-TitleI	Schoolwide Schools: The subgrantee can demonstrate that school-level expenditures are aligned to a school's schoolwide plan.	ESSA §1114(b)		<u>Mandatory Evidence</u> - Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		
1.8-F-TitleI	Targeted Assistance Schools: 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)		<u>Mandatory Evidence</u> - Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		

Equitable Services						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. Equitable Services, Section 8501						
1.1	The subgrantee conducted timely and meaningful consultation prior to making any decisions that affect the opportunities of eligible private school children, teachers, and other educational personnel to participate in programs under the ESEA on topics including: (A) how the children’s needs will be identified; (B) what services will be offered; (C) how, where, and by whom the services will be provided; (D) how the services will be assessed and how the results of the assessment will be used to improve those services; (E) the size and scope of the equitable services to be provided to the eligible private school children, teachers, and other educational personnel, the amount of funds available for those services, and how that amount is determined; (F) how and when the agency, consortium, or entity will make decisions about the delivery of services, including a thorough consideration and analysis of the view of the private school officials on the provision of services through potential third-party providers; (G) whether the agency, consortium, or entity shall provide services directly or through a separate government agency, consortium, or entity or through a third-party contractor; and	ESEA §8501(c)(1)(A-H), ESEA §8501(c)(4)	<u>Mandatory Evidence</u> Evidence that the subgrantee has conducted timely and meaningful consultation prior to making any decisions regarding the plan, design, and implementation of services. <u>Examples of acceptable evidence</u> -Letters of intent to participate -Individual consultation meeting documentation -Detailed services delivery plan			
1.1 CONT'D	(H) whether to provide equitable services to eligible private school children- (i) by creating a pool or pools of funds with all of the funds allocated under subsection (a)(4)(C) based on all the children from low-income families in a participating school attendance area who attend private schools; or (ii) in the agency’s participating school attendance area who attend private schools with the proportion of funds allocated under subsection (a)(4)(C) based on the number of children from low-income families who attend private schools.					
1.2	The subgrantee continues to consult with appropriate private school officials throughout the implementation and assessment of the equitable services programming.	ESEA §8501(c)(3)	<u>Mandatory Evidence</u> Evidence that the subgrantee continued to consult with appropriate private school officials throughout the implementation and assessment of equitable services programming <u>Examples of acceptable evidence</u> -Individual consultation meeting documentation -Detailed services delivery plan			
1.3	The subgrantee maintains a written affirmation signed by officials of each participating school that the meaningful consultation required by ESEA §8501(c) has occurred. If private school officials do not provide such affirmation to the subgrantee, the subgrantee has sent documentation of its consultation efforts to the SEA.	ESEA §8501(c)(5)	<u>Mandatory Evidence</u> Evidence that the subgrantee has a record of a written affirmation signed by officials of each participating school that the meaningful consultation required by ESEA §8501(c) has occurred which must include: -Individual consultation meeting documentation -For schools that choose not to participate, written documentation that the schools were informed of the opportunity to participate and declined			

Equitable Services						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.4	The subgrantee has consulted with appropriate non-public school officials during the design and development of the Title II program to properly identify participants for Title II services.	ESEA §8501(b)(2)	<u>Mandatory Evidence</u> - Documentation of how teachers' needs were identified - Documentation of how teachers were selected to participate - Documentation of how specific professional development opportunities were approved			
1.5	The subgrantee has consulted with appropriate non-public school officials during the design and development of the Title III program to properly identify students for Title III services.	ESEA §8501(b)(2)	<u>Mandatory Evidence</u> Evidence of process for providing technical assistance to private schools on how to: -Identify English learners -Determine size and scope of services -Administer English language proficiency assessments and statewide assessments with accommodations - Documentation of how private students are identified			
1.6	The subgrantee has consulted with appropriate non-public school officials during the design and development of the Title IVB program to properly identify students for Title IVB services.	ESEA §8501(b)(2)	<u>Mandatory Evidence</u> Evidence that the subgrantee consulted with appropriate private school officials to identify students for Title IVB services <u>Examples of acceptable evidence</u> -Individual consultation meeting documentation			
1.7	The subgrantee provides services in a timely manner that is equitable to the time at which services begin for public school students.	ESEA §8501(a)(3)(A)	<u>Mandatory Evidence</u> Evidence that the subgrantee provides services in a timely manner <u>Examples of acceptable evidence</u> -Detailed services delivery plan			
1.8	The subgrantee provides services and other benefits for private school children, teachers, and other educational personnel that is equitable in comparison to services and benefits for public school children, teachers, and other educational personnel.	ESEA §8501(a)(3)(A)	<u>Mandatory Evidence</u> Evidence that the subgrantee provides services and other benefits for private school children, teachers, and other educational personnel in a way that is equitable in comparison to services and other benefits provided to public school children, teachers, and other personnel <u>Examples of acceptable evidence</u> -Detailed services delivery plan			
1.9	The subgrantee has informed participating private schools of their right to file a complaint with the SEA's Equitable Services Ombudsman.	34 CFR § 299.11	<u>Mandatory Evidence</u> - Evidence that the subgrantee has informed participating private schools of their right to file a complaint with the SEA's Equitable Services Ombudsman <u>Examples of acceptable evidence</u> -A copy of the equitable services handbook that includes this policy, and meeting agendas or notes that show this handbook was distributed and discussed			

Equitable Services						
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.		
1.10	The subgrantee ensures that services, materials, and equipment are used for secular, neutral, and non-ideological instruction only to provide services to students under equitable services.	ESEA §8501(a)(2), ESEA §8505		<p><u>Mandatory Evidence</u> Evidence that Title II, III or IV services, materials, and equipment are used for secular, neutral, and non-ideological instruction only with students receiving services students.</p> <p><u>Examples of acceptable evidence</u> -Samples of curriculum -Samples of academic exercises/activities -Lesson plans -Completed monitoring forms</p>		
1.11	The subgrantee ensures that service providers (employees of the LEA or employees of a third party contractor) are independent of private schools and religious organizations.	ESEA §8501(a)(5), ESEA §8501(d)(2)(A), ESEA §8501(d)(2)(B)		<p><u>Mandatory Evidence</u> - Contracts for each service provider and employment agreements for equitable services, as appropriate that shows the employees are independent of private schools and religious organizations</p>		
1.12	The subgrantee complies with requirements for ensuring that the funding allocated for equitable services is equal in proportion to the funds allocated to public schools.	ESEA §8501(a)(4)(A)	On file at OSSE			
1.13	The subgrantee ensures that service providers are under the control and supervision of the subgrantee.	ESEA §8501(d)(2)(B)		<p><u>Mandatory Evidence</u> Evidence that all service providers are under control and supervision of the subgrantee.</p> <p><u>Examples of acceptable evidence</u> - Description of the process used to supervise service providers that includes: how often monitoring occurs, and who participates in monitoring - Monitoring schedule - Samples of completed monitoring forms that indicate the quality of the service provider's performance - Minutes from meetings with private school officials and service providers that indicate discussion of service provider performance, and corrections to performance as necessary</p>		
1.14	The subgrantee ensures that the funds allocated to private schools are obligated in the fiscal year for which the funds are received by the subgrantee.	ESEA §8501(a)(4)(B)	<p><u>Mandatory Evidence</u> Evidence that shows the funds allocated to private schools are obligated in the fiscal year for which the funds are received by the agency.</p>			
1.15	Subgrantee maintains control of funds and maintains title to materials, equipment and property that support services to private school children.	ESEA §8501(d)(1)		<p><u>Mandatory Evidence</u> Documentation that the subgrantee maintains control of the Title I funds, materials, equipment and property that support services to private school children.</p> <p><u>Examples of acceptable evidence</u> -Inventory check list -Title Program Equipment Assessment Form -Description of the oversight process -Record for tracking expenditures through the reimbursement process (e.g. workbook submissions) -Sample letters, invoices, and individual tracking -If applicable, allocations documentation</p>		

Equitable Services						
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.		
1.16	The subgrantee has policies and procedures to ensure funded materials and equipment located at the private school (1) are used only for the purposes of the project; (2) can be removed from the private school without remodeling the private school facility.	34 CFR §76.661(c)(2), 34 CFR §299.10		<u>Mandatory Evidence</u> - Policy for tagging/labeling, inventorying, and locating materials and equipment located at private school		
1.17	The subgrantee ensures that participating private schools are nonprofit institutions.	ESEA §8101 (19), ESEA §8101 (45)	<u>Mandatory Evidence</u> Documentation of the nonprofit status of each participating private school. <u>Examples of evidence.</u> -Tax forms documenting the nonprofit status of the participating private school -IRS letters documenting nonprofit status of the private school -Tax forms documenting the nonprofit status of an institution that has legally obtained nonprofit status on behalf of the private school and documentation that supports the relationship -IRS letters documenting the nonprofit status of an institution that has legally obtained nonprofit status on behalf of the private school and documentation that supports the relationship			

TITLE II, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. Title II Part A: Improving Teacher Quality						
1.1	The subgrantee has a current approved Local Education Agency Plan with all statutorily required components.	ESEA §2102(b)	On file with OSSE			
1.2	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)	<u>Mandatory Evidence</u> Evidence of the development of systems of professional growth and improvement for school staff referenced in the indicator. <u>Examples of acceptable evidence</u> - Sign-in sheets and agendas from stakeholder meetings - Meeting presentation materials (PowerPoint, handouts, etc.) - Training materials or handouts given to staff - Calendar of professional development activities			
1.3	The subgrantee meaningfully consults with teachers, principals and other school leaders, paraprofessionals (including organizations representing such individuals), specialized instructional support personnel, charter school leaders (if applicable), 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)	<u>Mandatory Evidence</u> Evidence of the methods of engaging stakeholders throughout the process. <u>Examples of acceptable evidence</u> - Sign-in sheets and agendas from stakeholder meetings - Meeting presentation materials (PowerPoint, handouts, etc.) - Samples of documents examined during stakeholder engagement activities - Schedule of stakeholder engagement activities			
1.4	The subgrantee uses data and ongoing consultation to continually update and improve activities supported under this part.	ESEA §2102(b)(2)(D)	<u>Mandatory Evidence</u> Evidence of review of updated student data during the school year to update and improve the professional development plan for school staff <u>Examples of acceptable evidence</u> - Data analysis, evaluation results, and presentation materials - Collection of feedback on ways to update and improve activities - Records of consultation meetings - Decision memos and/or revised professional development plans that demonstrate changes made as a result of reviewing data			

TITLE II, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.5	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)	<u>Mandatory Evidence</u> Evidence of inclusion of all learners in the professional development plan for school staff. <u>Examples of acceptable evidence</u> - Training materials or schedule - Professional development calendar with items for types of students - Presentation materials regarding reaching all learners, subject or grade level agendas with items indicating differentiation for high and low-performing students			
1.6	The LEA's application prioritizes funds to schools served by the agency that are implementing comprehensive support and improvement activities and targeted support and improvement activities.	ESEA §2102(b)(2)(c)	On file with OSSE			

TITLE II, PART A: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: Specific Fiscal Requirements						
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		<u>Mandatory Evidence</u> 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		<u>Mandatory Evidence</u> 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		<u>Mandatory Evidence</u> Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		
1.4-F-TitleII	Supplement Not Supplant: 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 https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/OSSE%20Federal%20Grants%20Toolkit%20Aug.%2018%2C%202017.pdf .	ESEA §2301		<u>Mandatory Evidence</u> Subgrantee source documentation to support OSSE's expenditure sample request such as invoices or budgets demonstrating use of non-federal funds		

TITLE II, PART A: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.5-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).	ESEA §8521	On file at OSSE			
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	<u>Mandatory Evidence</u> Evidence that the subgrantee resolved audit findings (if applicable)			

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.	
Indicator 1. Title III: Language Instruction for English Learners and Immigrant Students: Standards, Assessment, and Accountability					
1.1	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)	<u>Mandatory Evidence</u> -Documentation of how many EL students were not assessed and the reason for not testing -Evidence that EL students referred to other programs are annually assessed on WIDA/Alternate -Documentation that EL parents are informed of the WIDA testing requirements for all EL students		
1.2	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)(B)(vii)(III)	<u>Mandatory Evidence</u> Two signed and dated copies of the Home Language Survey sent to parents (one English and one translated version)		
1.3	The LEA has a written process for sharing the number and percentage of English learners achieving English language proficiency.	ESSA §121(a)(2), (a)(5)	On file at OSSE		
1.4	The subgrantee assists ELs in meeting the challenging WIDA English Language Proficiency Standards.	ESEA §3116(b)	<u>Mandatory Evidence</u> Evidence of professional development on English Language Proficiency standards <u>Examples of accepted evidence</u> -Presentation materials from meetings and/or trainings that guided discussions and provide opportunity for input (e.g., discussion or talking points, template or conversation guide, list of questions, PPT)		
Indicator 2. Title III Part A: Language Instruction for English Learners and Immigrant Students					
2.1	The subgrantee ensures that within 30 calendar days of the start of the school year OR within two weeks of a placement for students who enroll after the start of the school year, parents are notified of an English learner identified for participation or participating in a language instruction educational program (LIEP). The parent notification must include all seven statutorily required elements.	ESEA 1112(e)(3)(A)(i-vii), 1112(e)(3)(B)	<u>Mandatory Evidence</u> -Two copies of notifications sent to parents that include all seven statutory requirements (one English and one translated version). -Two copies of notifications sent to parents of a child with a disability, if applicable (one English and one translated version).	<u>Mandatory Evidence</u> -EL student enrollment roster and identification dates -Presentation materials from parent meeting(s) related to EL identification, EL programming, and parents' rights (e.g., discussion or talking points, template or conversation guide, PowerPoint)	
2.2	The subgrantee ensures that funds support implementation of effective means of outreach to parents of ELs on how they can be involved in the education and be active participants in assisting their children to (aa) attain English proficiency; (bb) achieve at high levels within a well rounded education; and (cc) meet the challenging State academic standards expected of all students.	ESEA §1112(e)(3)(C)(i)	<u>Mandatory Evidence</u> - Copy of a communication log between parent(s) of EL and subgrantee - Translated documents or flyers (one English, one translated version) - Translated school improvement team invitation letter/flyer sent to parents of ELs and sign-in sheet, if applicable (one English, one translated version) - Copy of interpreter receipt for services, if applicable		
2.3	The subgrantee holds regular meetings and sends parents of ELs notices of such meetings for the purpose of: 1. Formulating and responding to recommendations from parents; 2. Informing parents how to actively participate in the education of their child; 3. Informing parents how to be informed of decision related to services provided to ELs.	ESEA §1112(e)(3)(C)(ii)	<u>Mandatory Evidence</u> -Agendas, sign-in sheets, and minutes - Materials shared about opportunities for parents/families of ELs to participate in their child's education (one English, one translated version) - Presentation materials from parent meetings and/or events related to supporting ELs with language attainment and academic needs (e.g., discussion or talking points, list of questions, one English and one translated version of any PowerPoint or resources provided).		
2.4	The LEA has evidence that effective professional development was offered to classroom teachers (including teachers in classroom settings that are not the settings of language instruction educational programs), principals and other school leaders, administrators, and other school or community-based organizational personnel.	ESEA §3115(c)(2)	<u>Mandatory Evidence</u> - Professional development plan related to ELs - Teacher development materials that reflect the design of the development plan for English learners - Professional development calendar including dates, topics and presenters -Written process of approving teacher initiated professional development requests		

TITLE III: 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.		
2.5	The subgrantee provided and implemented other effective activities and strategies to enhance or supplement language instruction educational programs for English learners.	ESSA §3115(c)(3)	<u>Mandatory Evidence</u> Evidence to support parent, family, and community engagement activities: -Agendas from trainings, -Sign-in sheets from trainings -Copies of training materials			
2.6	The subgrantee has a current, approved Local Educational Agency Plan with all statutorily required components.	ESEA §3116(a) - (b)	<u>Mandatory Evidence</u> LEA Plan (On file with OSSE) Evidence of implementation of LEA Plan on file at OSSE <u>Examples of accepted evidence demonstrating implementation of LEA Plan</u> - Documentation of programs and activities - Documentation of PD for teachers and school staff - Documentation of involvement of parents, families and community members - Invitations/notices of meetings or surveys to solicit input - Sample of documents examined during stakeholder engagement activities - Revisions to the LEA plan reflecting stakeholder input			
2.7	The subgrantee ensures that all teachers in any language instruction educational program for English learners that is, or will be funded under this part are fluent in English and any other language used for instruction, including having written and oral communication skills.	ESEA §3116(c)	<u>Mandatory Evidence</u> -List of all teachers in any language instruction educational program for English learners and their certification status including the number and percentage of teachers who have certification and licensure for the monitored school year. - Evidence that teachers in any language instruction educational program are fluent in English and any other language used for instruction (e.g. job posting, hiring criteria, B.A. or other evidence of college degree)	<u>Mandatory Evidence:</u> - Degree and PRAXIS scores (On file at OSSE)		
2.8	The programs and activities are evaluated to determine effectiveness that includes the statutorily required components (conducted at the conclusion of every two years).	ESEA §3121 (a)(1 - 7)	<u>Mandatory Evidence</u> - Written program evaluation with the seven required components - Evidence of necessary adjustments made to the program - Agendas, meeting minutes or communications regarding policy evaluation - Revised policies indicating changes as a result of studying effectiveness - Summary of evaluation results			

TITLE III: PROGRAM MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks	
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 3: Title III: Immigrant Children and Youth (if applicable)						
3.1	The subgrantee has implemented specific programs for immigrant children and youth.	ESEA §3115(e)	<p><u>Mandatory Evidence</u> Evidence set forth in subgrantee's approved application, such as progress notes, tutoring minutes, invoice payments, sign-in sheets) and evidence that supporting activities were completed</p> <p><u>Examples of activities</u></p> <ul style="list-style-type: none"> - 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; - Other instructional services that are designed to assist immigrant children and youth to achieve in elementary schools and secondary schools; - 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 			
3.2	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)	- Data collection procedures			

TITLE III: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. District Allocation						
1.1-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)	<u>Mandatory Evidence</u> Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts			
Indicator 2. Maintenance of Effort						
2.1-F-TitleIII	The subgrantee complies with the maintenance of effort fiscal requirement.	ESEA §8521	On file at OSSE	On file at OSSE		
Indicator 3. Supplement Not Supplant						
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 https://osse.dc.gov/node/1267731 .	ESEA §3115(g)	<u>Mandatory Evidence</u> 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		
3.2-F-TitleIII	The subgrantee can demonstrate that grant expenditures were necessary, reasonable, allocable, and only for authorized purposes.	2 CFR §§200.403 - 200.405		<u>Mandatory Evidence</u> Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, receipts, contracts		

TITLE IV, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. Title IV: Student Support and Academic Enrichment						
1.1	The subgrantee has a current approved local educational agency application with all statutorily required components.	ESEA 4106(a)(1)	On file with OSSE			
1.2	Subgrantees receiving more than \$30,000: the subgrantee conducted a comprehensive needs assessment in order to examine access to, and opportunities for, a well-rounded education for all students; school conditions for student learners in order to create a healthy and safe school environment; and access to personalized learning experiences supported by technology and professional development for the effective use of data and technology.	ESEA §§4106(a)(2) and 4106(d)	<u>Mandatory Evidence</u> Evidence of a comprehensive needs assessment. <u>Examples of acceptable evidence</u> - Meeting agendas, sign-in sheets, and presentation materials - Reports or collection of data - Summary of conclusions from the needs assessment			
1.3	The subgrantee has prioritized funds to schools that have the greatest needs, have the highest percentages or numbers of children from families living in poverty, are identified for comprehensive or targeted support and improvement or are identified as persistently dangerous public elementary or secondary schools.	ESEA §4106(e)(2)(A)	<u>Mandatory Evidence</u> Evidence of prioritization of schools <u>Examples of acceptable evidence</u> - School data or needs assessment - Decision memos - Email communication - Meeting notes			
1.4	The subgrantee developed its application through consultation with key stakeholders (parents, teachers, principals, other school leaders, specialized instructional support personnel, students, community-based organizations, local government representatives, charter school teachers, principals, and other school leaders, and others with relevant and demonstrated expertise in programs and activities designed to meet the purpose of this subpart.	ESEA §4106(c)(1)	<u>Mandatory Evidence</u> Evidence of consultation with all required stakeholders. <u>Examples of acceptable evidence</u> - Meeting notices, agendas, and presentation materials - Sign-in sheets - Email communication - Decision memos - Survey results			
1.5	The subgrantee engages in continued consultation with the entities describe in Indicator 1.4 to improve the activities in order to meet the purpose of this subpart and to coordinate implementation with other related strategies, programs, and activities conducted in the community.	ESEA §4106(c)(2)	<u>Mandatory Evidence</u> Evidence of consultation with all required stakeholders. <u>Examples of acceptable evidence</u> - Meeting notices, agendas, and presentation materials - Sign-in sheets - Email communication - Decision memos - Survey results			
1.6	The subgrantee periodically, at least every three years, evaluates the effectiveness of program and activities that support access to well-rounded activities.	ESEA §4106(e)(1)(E) ESEA §4107	<u>Mandatory Evidence</u> Evidence of periodic evaluation as described in the application <u>Examples of acceptable evidence</u> - Data sources used to evaluate the program - Surveys of the program - Meeting notes related to subgrantee evaluation - Decision memos - Report or summary of conclusions			

TITLE IV, PART A: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.7	The subgrantee periodically evaluates the comprehensive programs and activities that support safe and healthy students.	ESEA §4106(e)(1)(E) ESEA §4108	<u>Mandatory Evidence</u> Evidence of periodic evaluation as described in the application <u>Examples of acceptable evidence</u> - Data sources used to evaluate the program - Surveys of the program - Meeting notes related to subgrantee evaluation - Decision memos - Report or summary of conclusions			
1.8	The subgrantee periodically evaluates the effectiveness of program activities implemented to improve the academic achievement, academic growth, and digital literacy of all students that support the effective use of technology.	ESEA §4106(e)(1)(E) ESEA §4109	<u>Mandatory Evidence</u> Evidence of periodic evaluation as described in the application <u>Examples of acceptable evidence</u> - Data sources used to evaluate the program - Surveys of the program - Meeting notes related to subgrantee evaluation - Decision memos - Report or summary of conclusions			

TITLE IV, PART A: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: Specific Fiscal Requirements						
1.1	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	<u>Mandatory Evidence</u> Samples of supporting documentation such as invoices, receipts, contracts			
1.2	The subgrantee can demonstrate that grant expenditures were necessary, reasonable, allocable, and only for authorized purposes.	2 CFR §§200.403 - 200.405	<u>Mandatory Evidence</u> Samples of supporting documentation such as invoices, receipts, contracts			
1.3	The subgrantee can demonstrate that Title IV, A funds were used for allowable program purposes aligned with the subgrantee's application.	ESEA §§4106, 4107, 4108 and 4109.	<u>Mandatory Evidence</u> Samples of supporting documentation such as invoices, receipts, contracts			
1.4	The subgrantee did not reserve more than 2% for direct administrative costs.	ESEA §4105(c)	- On file at OSSE			
1.5	If the subgrantee received more than \$30,000, the subgrantee did not use less than 20% on well-rounded education opportunities, 20% on activities to support safe and healthy students and used a portion of funds on effective use of technology.	ESEA §§ 4106(e)(2)(C)-(E)	- On file at OSSE	<u>Mandatory Evidence</u> Samples of supporting documentation such as invoices, receipts, contracts		
1.6	If the subgrantee received less than \$30,000, the subgrantee spent Title IV funds according to one of the following requirements consistent with the assurance given in its application: (1) not less than 20% on well-rounded education opportunities, (2) not less than 20% on activities to support safe and healthy students, or (3) a portion of funds on effective use of technology.	ESEA §§ 4106(f)	- On file at OSSE	<u>Mandatory Evidence</u> Samples of supporting documentation such as invoices, receipts, contracts		

TITLE IV, PART A: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.7	The subgrantee did not use more than 15% of funds for purchasing technology infrastructure.	ESEA §4109(b)	- On file at OSSE	<u>Mandatory Evidence</u> Samples of supporting documentation such as invoices, receipts, contracts		
1.8	Supplement Not Supplant: The subgrantee ensures that funds made available under this subpart shall be used to supplement, and not supplant, non-federal funds that would otherwise be used for activities authorized under this subpart. For additional guidance, please see https://osse.dc.gov/sites/default/files/dc/sites/osse/publication/attachments/OSSE%20Federal%20Grants%20Toolkit%20Aug.%2018%2C%202017.pdf .	ESEA §4110	- On file at OSSE			

TITLE IV, PART B: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "May be requested on-site by OSSE" do not need to be submitted prior to the visit but may be requested by OSSE on-site to support grant implementation. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
Indicator 1. Title IV Part B: Program Activities						
1.1	The LEA provides evidence describing the structural features of the program including: - Staffing (e.g., program director and site coordinator) - Hours of operation - Relevance and intensity of subject area - Attendance of participants - Retention of participants - Student achievement - Partners and contributions - Percentage of minorities and other ethnic populations - Percentage of students in poverty - Percentage of high-need students	OSSE 2018-19 21st Century Community Learning Centers (21st CCLC) Request for Applications (RFA) - Application Guidelines: 21st CCLC Application	<u>Mandatory</u> - Participant lists - 21st CCLC staff list - Quarterly interim reports (On file at OSSE) - Program schedule - Student poverty/minority/high needs data (e.g., DC School Report Card data, survey data) (On file at OSSE)	<u>Mandatory</u> - Participant sign-in/sign-out sheet samples - Program policy and procedures - Activities and lesson plan samples - Program curriculum samples		
1.2	The subrecipient provides services to students for a minimum of three hours per day, four days a week, for 25 weeks (300 hours per regular school year). Services to adult family members do not contribute to the 12 hour per week minimum. These minimum hours do not include summer program hours.	2018-19 21st CCLC RFA: Hours and Days of Operation (p.3)	<u>Mandatory</u> - Program schedule - Program calendar	<u>May be requested on-site by OSSE</u> - Program policy and procedures - Activity and lesson plan samples		
1.3	The LEA enrolled at least 75% of the projected enrollment as documented in the approved application by the end of the second quarter (March 30 th) during the prior year of 21st CCLC programming.	2018-19 21st CCLC RFA: Change in the Size of Grant Awards (p. 5)	<u>Mandatory</u> - Quarterly interim reports (On file at OSSE)	<u>Mandatory</u> - 21st CCLC program registration form samples		
1.4	The LEA disseminates information about the program to the community in a manner that is understandable and accessible.	ESEA §4204(b)(2)(A)(iii)	<u>Mandatory</u> - Communications with community (flyers, newsletters, emails, etc.)	<u>May be requested on-site by OSSE</u> - Program policies and procedures - Program 21st CCLC webpage screenshot		

TITLE IV, PART B: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "May be requested on-site by OSSE" do not need to be submitted prior to the visit but may be requested by OSSE on-site to support grant implementation. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
1.5	The LEA uses 21st CCLC award funds to carry out a broad array of activities that advance student academic achievement and support student success, including - (1) academic enrichment learning programs, mentoring programs, remedial education activities, and tutoring services, that are aligned with— (A) the challenging State academic standards and any local academic standards; and (B) local curricula that are designed to improve student academic achievement; (2) well-rounded education activities, including such activities that enable students to be eligible for credit recovery or attainment; (3) literacy education programs, including financial literacy programs and environmental literacy programs; (4) programs that support a healthy and active lifestyle, including nutritional education and regular, structured physical activity programs; (5) services for individuals with disabilities; (6) programs that provide after-school activities for students who are English learners that emphasize language skills and academic achievement; (7) cultural programs; (8) telecommunications and technology education programs; (9) expanded library service hours; (10) parenting skills programs that promote parental involvement and family literacy; (11) programs that provide assistance to students who have been truant, suspended, or expelled to allow the students to improve their academic achievement; (12) drug and violence prevention programs and counseling programs;	ESEA §4205(a)	<u>Mandatory</u> - Program schedule - Activities and lesson plan samples - Program curriculum samples	<u>Mandatory</u> - 21st CCLC application (On file at OSSE)		
1.5 CONT.	(13) programs that build skills in science, technology, engineering, and mathematics (referred to in this paragraph as "STEM"), including computer science, and that foster innovation in learning by supporting nontraditional STEM education teaching methods; and (14) programs that partner with in-demand fields of the local workforce or build career competencies and career readiness and ensure that local workforce and career readiness skills are aligned with the Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301 et seq.) and the Workforce Innovation and Opportunity Act (29 U.S.C. 3101 et seq.).	CONT.	CONT.	CONT.		
1.6	The LEA provides activities that are expected to improve student academic achievement and overall student success.	ESEA §4204(b)(2)(B)	<u>Mandatory</u> - Activity and lesson plan samples - Program schedule	<u>Mandatory</u> - Annual 21st CCLC external evaluation report		
1.7	The LEA uses best practices, including research or evidence-based practices, to provide educational and related activities that will complement and enhance academic performance, achievement, postsecondary and workforce preparation, and positive youth development of the students.	ESEA §4204(b)(2)(J)	<u>Mandatory</u> - Activity and lesson plan samples	<u>Mandatory</u> - 21st CCLC application (On file at OSSE) <u>May be requested on-site by OSSE</u> - Policies and procedures used to inform curriculum development - Curriculum development staff communications - Curriculum development staff meeting agendas		

TITLE IV, PART B: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "May be requested on-site by OSSE" do not need to be submitted prior to the visit but may be requested by OSSE on-site to support grant implementation. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
1.8	The 21st CCLC program or activity shall - (A) be based upon an assessment of objective data regarding the need for before and after school (or summer recess) programs and activities in the schools and communities; (B) be based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment opportunities; (C) if appropriate, be based upon evidence-based research that the program or activity will help students meet the challenging State academic standards and any local academic standards; (D) ensure that measures of student success align with the regular academic program of the school and the academic needs of participating students and include performance indicators and measures described in section 4203(a)(14)(A); and (E) collect the data necessary for the measures of student success described in subparagraph (D).	ESEA §4205(b)	<u>Mandatory</u> - Activity and lesson plan samples	<u>Mandatory</u> 21st CCLC application (On file at OSSE) <u>May be requested on-site by OSSE</u> - Policies and procedures used to inform curriculum development - Curriculum development staff communications - Curriculum development staff meeting agendas		
1.9	The LEA program activities are developed and carried out in active collaboration with the schools that participating students attend (including through the sharing of relevant data among the schools), all participants of the eligible entity, and any partnership entities described in subparagraph (H), in compliance with applicable laws relating to privacy and confidentiality.	ESEA §4204(b)(2)(D)	<u>Mandatory</u> - Curriculum development staff communications - Curriculum development staff meeting agendas	<u>Mandatory</u> - 21st CCLC application (On file at OSSE) <u>May be requested on-site by OSSE</u> - Activity and lesson plan samples - Curriculum development policies and procedures - Curriculum development meeting minutes		

TITLE IV, PART B: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "May be requested on-site by OSSE" do not need to be submitted prior to the visit but may be requested by OSSE on-site to support grant implementation. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
1.10	The LEA has a partnership between a local educational agency, a community-based organization, and another public entity or private entity, if appropriate.	ESEA §4204(b)(2)(H)	<u>Mandatory</u> - 21st CCLC partnership contracts/agreements - Partner communication samples	<u>Mandatory</u> - 21st CCLC Application Partner Attestation Forms (On file at OSSE) - Quarterly interim reports (On file at OSSE)		
Indicator 2. Title IV Part B: Safety and Accessibility						
2.1	The LEA ensures that the program locations are safe and easily accessible, and allow for availability of services to participants.	ESEA §4204(b)(2)(A)(i)	<u>Mandatory</u> - Special needs accommodation documents and parent communication samples - Safety policies and procedures - Participant sign-in/sign-out polices and procedures	<u>Mandatory</u> - Participant sign-in/sign-out sheet samples		
2.2	The LEA ensures that participants will travel safely to and from the centers and home, if applicable.	ESEA §4204(b)(2)(A)(ii)	<u>Mandatory</u> - Transportation policy and procedures - Participant sign-in/sign-out policies and procedures	<u>Mandatory</u> - 21st CCLC application (On file at OSSE) <u>May be requested on-site by OSSE</u> - Participant transportation pick up/drop-off schedules - Participant transportation vehicle use documentation (vehicle gas and repair receipts, vehicle lease or ownership documentation, etc.)		
2.3	The LEA ensures that current background checks and tuberculosis tests were conducted on all staff working directly with 21st CCLC participants.	2018-19 21st CCLC RFA - Frequently Asked Questions: What are the required clearances for 21st CCLC programs?; District of Columbia Municipal Regulation §5A-137.1	<u>Mandatory</u> - Staff screening policies and procedures	<u>Mandatory</u> - Background Checks for staff selected by OSSE following review of 21st CCLC staff list provided in Indicator 1.1 - TB Tests for staff selected by OSSE following review of 21st CCLC staff list provided in Indicator 1.1		
Indicator 3. Title IV Part B: Staff Development						
3.1	The LEA provides professional development based on assessed staff needs.	ESEA §4203(a)(6); 2018-19 21st CCLC RFA - Application Guidelines, 21st CCLC Application: Criteria 5: Program Management and Implementation	<u>Mandatory</u> - Professional development staff needs assessment - Professional development policies and procedures - Professional development calendar - Professional development sign-in sheets - Professional development agendas	<u>Mandatory</u> - 21st CCLC application (On file at OSSE)		
3.2	The LEA complies with all mandatory professional development and conference requirements.	ESEA §4203(a)(6); 2018-19 21st CCLC RFA: Professional Development Training	<u>Mandatory</u> - Professional development staff needs assessment - Professional development calendar - Professional development sign-in sheets - Professional development agendas - Professional development registration forms	<u>Mandatory</u> - 21st CCLC Continuation Application Staff Development responses (On file at OSSE) <u>May be requested on-site by OSSE</u> Professional development travel receipts		

TITLE IV, PART B: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "May be requested on-site by OSSE" do not need to be submitted prior to the visit but may be requested by OSSE on-site to support grant implementation. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
3.3	If applicable, the LEA has a plan that will encourage and use appropriately qualified persons to serve as staff and volunteers in activities carried out through the community learning center.	ESEA §4204(b)(2)(M); ESEA §4203(a)(6); 2018-19 21st CCLC RFA - Application Guidelines, 21st CCLC Application, Criteria 4: Evidence-Based Program Design, Section 2: Evidence-Based Program Activities and Services	<u>Mandatory</u> - Staff recruitment policies and procedures - Volunteer recruitment policies and procedures	<u>Mandatory</u> - 21st CCLC application (On file at OSSE) <u>May be requested on-site by OSSE</u> - Staff resumes and employment applications - Staff employment agreements/contracts - Volunteer applications/agreements		
Indicator 4. Title IV Part B: Program Eligibility						
4.1	The LEA targets students who primarily attend schools eligible for schoolwide programs under section 1114 and the families of such students.	ESEA §4204(b)(2)(F); 2018-19 21st CCLC RFA - EGMS Central Data Assurances, 21st CCLC Program Specific Assurances		<u>Mandatory</u> - 21st CCLC Application (On file at OSSE) - Quarterly interim reports (On file at OSSE) - Student poverty/minority/high needs data (e.g. DC School Report Card data, survey data) (On file at OSSE)		
4.2	The LEA conducted timely and meaningful consultation with private school officials during the development of the 21st CCLC program or activities (Non-DCPS LEAs Only)	ESEA §8501(a)(1), et seq. 21st CCLC Non-Regulatory Guidance (Feb. 2003), Question F-16; 2018-19 21st CCLC RFA - Participation of Student Enrolled in Nonpublic Private Schools		<u>Mandatory</u> - 21st CCLC Application Private School Consultation Form (On file at OSSE)		

TITLE IV, PART B: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "May be requested on-site by OSSE" do not need to be submitted prior to the visit but may be requested by OSSE on-site to support grant implementation. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
Indicator 5. Title IV Part B: Evaluation and Reporting						
5.1	The LEA conducts a periodic evaluation of its program in conjunction with the State Educational Agency's overall evaluation plan as described in section 4203(a)(14) to assess the program's progress toward achieving the goal of providing high-quality opportunities for academic enrichment and overall student success.	ESEA §4205(b)(2)(A); 2018-19 21st CCLC RFA - Frequently Asked Questions: What are the evaluation requirements for local subrecipients?		<u>Mandatory</u> - Annual 21st CCLC external evaluation report		
5.2	The LEA uses an external evaluator.	ESEA §4205(b)(2)(A); 2018-19 21st CCLC RFA - Application Guidelines, 21st CCLC Application, Criteria 6: Program Evaluation and Monitoring	<u>Mandatory</u> - External evaluator contract/agreement - External evaluation meeting agendas/minutes - External evaluator communications	<u>Mandatory</u> - Annual 21st CCLC external evaluation report - Quarterly interim reports (On file at OSSE) <u>May be requested on-site by OSSE</u> - External evaluation policies and procedures		
5.3	The evaluation: 1. Addresses the established set of performance measures and indicators as approved in the LEA's 21st CCLC application. 2. Addresses particular concerns or needs of the program. 3. Uses a quasi-experimental design or a pre/post or comparison group design. 4. Describes how the program carried out in the center(s) addresses community needs (including the needs of working families).	ESEA §4205(b)(1) & (2); ESEA §4204(b)(2)(I); 2018-19 21st CCLC RFA - Application Guidelines, 21st CCLC Application, Criteria 6: Program Evaluation and Monitoring	<u>Mandatory</u> - External evaluation meeting agendas/minutes - External evaluation development communications	<u>Mandatory</u> - Annual 21st CCLC external evaluation report - 21st CCLC measurable objectives and performance indicators (On file at OSSE) - Quarterly interim reports (On file at OSSE) <u>May be requested on-site by OSSE</u> - External evaluation policies and procedures - Meeting agendas with evaluator and public		
5.4	The evaluation incorporates Annual Performance Reporting (APR) data in its analysis. APR data includes: 1. 21st CCLC program participant assessment results; 2. Grades; and 3. Teacher survey results.	ESEA §4205(b)(1) & (2); 2018-19 21st CCLC RFA - Application Guidelines, 21st CCLC Application, Criteria 6: Program Evaluation and Monitoring	<u>Mandatory</u> - External evaluation data collection sample documents (PARCC assessment results; teacher, participant, and parent surveys, participant grades, etc.)	<u>Mandatory</u> - Annual 21st CCLC external evaluation report <u>May be requested on-site by OSSE</u> - External evaluation policies and procedures		
5.5	The LEA uses the results of evaluations under subparagraph (A) to refine, improve, and strengthen the program or activity, and to refine the performance measures.	ESEA §4205(b)(2)(B)(i); 2018-19 21st CCLC RFA - Frequently Asked Questions: What are the evaluation requirements for local subrecipients?	<u>Mandatory</u> - External evaluation recommendations/next steps planning evidence (Meeting agendas and minutes discussing program adjustments based on evaluation results, communications with evaluator regarding results, etc.)	<u>Mandatory</u> - Annual 21st CCLC external evaluation report <u>May be requested on-site by OSSE</u> - External evaluation policies and procedures - External evaluation results presentation materials		

TITLE IV, PART B: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "May be requested on-site by OSSE" do not need to be submitted prior to the visit but may be requested by OSSE on-site to support grant implementation. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
5.6	The LEA makes available the results of evaluations to the public upon request, with public notice of such availability provided.	ESEA §4205(b)(2)(B)(ii); 2018-19 21st CCLC RFA - Frequently Asked Questions: What are the evaluation requirements for local subrecipients?	<u>Mandatory</u> - External evaluation policies and procedures - External evaluation public communication samples (Newsletters and emails communicating evaluation results, external evaluation on LEA website screenshot, meeting agendas and minutes discussing external evaluation results with the public, etc.)	<u>Mandatory</u> - Annual 21st CCLC external evaluation report		
5.7	The LEA timely submits quarterly performance reports to OSSE.	ESEA §4205(b)(2); 2018-19 21st CCLC RFA - Reporting Requirements: Interim Reporting		<u>Mandatory</u> Quarterly interim reports (On file at OSSE)		

TITLE IV, PART B: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "May be requested on-site by OSSE" do not need to be submitted prior to the visit but may be requested by OSSE on-site to support grant implementation. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
Indicator 6. Title IV Part B: Sustainability						
6.1	The LEA has a sustainability plan for how the community learning center will continue after funding under this part ends	ESEA §4204(b)(2)(K); 2018-19 21st CCLC RFA - Application Guidelines, 21st CCLC Application, Criteria 7: Sustainability	<u>Mandatory</u> - 21st CCLC sustainability policies and procedures - 21st CCLC partnership recruitment effort evidence - 21st CCLC fundraising effort evidence (donations, grants, in-kind contributions, events, etc.)	<u>Mandatory</u> - 21st CCLC Application Sustainability content (On file at OSSE) - Quarterly interim reports (On file at OSSE)		
6.2	The LEA uses 21st CCLC funds to increase the level of State, local, and other non-federal funds that would, in the absence of funds under this part, be made available for programs and activities authorized under this part, and in no case supplant federal, State, local, or non-federal funds.	ESEA §4204(b)(2)(G); 2018-19 21st CCLC RFA - Eligibility	<u>Mandatory</u> - Supplement, not supplant policies and procedures evidence			
6.3	The LEA demonstrates how the program coordinates federal, State, and local programs and makes the most effective use of public resources.	ESEA §4204(b)(2)(C); 2018-19 21st CCLC RFA - Application Guidelines, 21st CCLC Application, Criteria 3: Needs and Resource Assessment	<u>Mandatory</u> - Partnership agreement policies and procedures	<u>Mandatory</u> - 21st CCLC Application Needs and Resource Assessment content (On file at OSSE) - Quarterly interim reports (On file at OSSE)		

TITLE IV, PART B: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
Indicator 1: Specific Fiscal Requirements						
1.1	If the LEA charges program fees, it is able to document its process it uses to collect fees.	2 CFR §200.80; 2018-19 21st CCLC RFA - Frequently Asked Questions: Can a program charge fees?	<u>Mandatory</u> - Financial policies and procedures - 21st CCLC registration form samples - Program fee communications to families	<u>Mandatory</u> - Financial reports showing program fee amounts - 21st CCLC budget (On file at OSSE) - Quarterly interim reports (On file at OSSE)		
1.2	The LEA ensures that the budgeted evaluator cost does not exceed eight percent of the total annual 21st CCLC grant award amount.	2 CFR §200.210 and §200.302; 2018-19 21st CCLC RFA - Application Guidelines, 21st CCLC Application: Criteria 6: Program Evaluation and Monitoring	<u>Mandatory</u> - 21st CCLC reimbursement request expenditure sample documents	<u>Mandatory</u> - 21st CCLC budget (On file at OSSE)		
1.3	The LEA requests grant funds at least once quarterly but no more than once monthly.	2 CFR §200.210 and §200.302; 2018-19 21st CCLC RFA - Frequently Asked Questions: How are award payments distributed?	<u>Mandatory</u> - 21st CCLC reimbursement request expenditure sample documents			
1.4	The LEA carried over at most 15 percent of 21st CCLC grant award funds from the previous year and funds from the previous year did not lapse.	2 CFR §200.210 and §200.302; 2018-19 21st CCLC RFA - Frequently Asked Questions: How are award payments distributed?		<u>Mandatory</u> - 21st CCLC draw down amounts (On file at OSSE) - 21st CCLC close out report (On file at OSSE)		
1.5	The LEA retains all financial records, supporting documents, statistical records, and all other non-federal entity records pertinent to the 21st CCLC award for a period of five years from the date of submission of the final expenditure report.	2018-19 21st CCLC RFA - EGMS Central Data Assurances	<u>Mandatory</u> - Financial policies and procedures			

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required upon request.		
Indicator 1: Specific Fiscal Requirements						
1.6	The LEA uses 21st CCLC funds to increase the level of State, local, and other non-federal funds that would, in the absence of funds under this part, be made available for programs and activities authorized under this part, and in no case supplant federal, State, local, or non-federal funds.	ESEA §4204(b)(2)(G); 2018-19 21st CCLC RFA - Program Information, Eligibility (Who Can Apply)	<u>Mandatory</u> Subgrantee source documentation to support OSSE's expenditure sample request such as invoices, budgets demonstrating use of state, local and other federal funds.			

PROGRAM MANAGEMENT AND ADMINISTRATION						
*Please note that OSSE received the CSP grant in 2015. As a result, OSSE’s CSP grant will continue to operate in accordance with the ESEA, as amended by NCLB for the 2018-19 monitoring cycle. Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required		
Indicator	Guiding Statement	Citation			Determination	Remarks
Indicator 1. Charter School Status, Program, and Application Fidelity						
1.1	DEFINITION OF CHARTER SCHOOL: The CSP sub-grantee meets the Federal term “charter school.”	ESEA §5210 (1)				
1.2	FIDELITY TO EDUCATIONAL PROGRAM: The implementation of the subgrantee’s educational program reflects what was described in its approved application.	2 CFR §200.328				
1.3	FIDELITY TO MANAGEMENT PLAN: The implementation of the subgrantee’s management plan reflects what was described in its approved application.	2 CFR §200.328				
1.4	INFORMATION AND EQUAL ACCESS TO ATTEND: The subgrantee informs students in the community about the charter school and gives them an equal opportunity to attend.	ESEA §5203 (b)(3)(I)				
1.5	PARENT AND COMMUNITY INVOLVEMENT: The subgrantee involves parents and other members of the community in the planning, design, and implementation of the school.	ESEA §5203 (b)(3)(E.)				

PROGRAM MANAGEMENT AND ADMINISTRATION						
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Indicator	Guiding Statement	Citation			Determination	Remarks
1.6	DISSEMINATION ACTIVITIES: subgrantee is carrying out the proposed dissemination activities described in the approved application and are in compliance with activities described in ESEA Section 5204 (f)(6)(B).	ESEA §5204 (f)(6)(B)				
1.7	PLANNING AND IMPLEMENTATION ACTIVITIES: subgrantee is carrying out the proposed planning and implementation activities described in the approved application and are in compliance with activities described in ESEA Section 5204 (f) (3).	ESEA §5204(f)(3)				
Indicator 2. subgrantee Quality and Performance Assessment						
2.1	FLEXIBILITY AND AUTONOMY: The sub-grantee maintains a high degree of flexibility and autonomy.	ESEA §5204 (a)(2)				
2.2	DIRECT ADMINISTRATION: The subgrantee directly supervises the administration of the grant	34 CFR §76.701				
2.3	Indicator 2. Subgrantee Quality and Performance Assessment	2 CFR §200.328				
2.4	Indicator 2. Subgrantee Quality and Performance Assessment	ESEA §§5203(b)(3)(L), 613(a)(5), 613(e)(1)(B)				
PROGRAM MANAGEMENT AND ADMINISTRATION						
Activity	Program Agreement Activity	Citation			Determination	Remarks
Project Goal 1: LEA will maintain a rigorous and aligned curriculum across the local education agency that will ensure scholar achievement.						
Objective 1.0: Ensure a seamless common core transition from DC CAS to PARCC with the result that scholars are achieving at high levels in all contents, including reading. Additionally, instruction is aligned to Common Core and high quality.						
Reporting Period 1: February 21st -August 20th						
1.1	Hire Chief Academic Officer	2 CFR §200.328				

PROGRAM MANAGEMENT AND ADMINISTRATION						
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Indicator	Guiding Statement	Citation			Determination	Remarks
1.2	Review scholar performance to date on reading assessments to identify trends and gaps (Summer 2014)	2 CFR §200.328				
1.3	Implement interim assessments to monitor progress (4 times per year; 1 per quarter)	2 CFR §200.328				
Reporting Period 2: August 21st -February 20th						
1.4	Attend training on common core and PARCC (Fall 2014)	2 CFR §200.328				
1.5	Implement interim assessments to monitor progress (4 times per year; 1 per quarter)	2 CFR §200.328				
1.6	Regularly convene invested parties to review current curricula and academic model (July-November)	2 CFR §200.328				
1.7	Evaluate effectiveness of teaching model, especially in reading, based on scholar performance (August 2014)	2 CFR §200.328				
Reporting Period 3: February 21st -August 20th						
1.8	Implement interim assessments to monitor progress (4 times per year; 1 per quarter)	2 CFR §200.328				
Reporting Period 4: August 21st -February 20th						
1.9	Implement interim assessments to monitor progress (4 times per year; 1/per quarter)	2 CFR §200.328				
1.10	Regularly convene invested parties to review current curricula and academic model (July-November)	2 CFR §200.328				

PROGRAM MANAGEMENT AND ADMINISTRATION						
*Please note that OSSE received the CSP grant in 2015. As a result, OSSE's CSP grant will continue to operate in accordance with the ESEA, as amended by NCLB for the 2018-19 monitoring cycle. Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: Documents labeled "Mandatory" must be made available to OSSE during the monitoring visit. Documents labeled "On file at OSSE" do not need to be made available but follow up may be required		
Indicator	Guiding Statement	Citation			Determination	Remarks
Project Goal 2: To offer more quality seats and meet a demonstrated market need in Ward 8.						
Objective 2.0: Increase quality seat offerings in current campuses. Conduct a needs assessment to identify greatest areas of need for future campuses. Ensure quality is standardized and implemented at each level. Open additional campuses to meet the identified service gap in Ward 8.						
Reporting Period 1: February 21st -August 20th						
2.1	Hire Director of Strategy	2 CFR §200.328				
2.2	Refine enrollment benchmarks for current campuses (current to July)	2 CFR §200.328				
2.3	Engage in student recruitment and outreach	2 CFR §200.328				
Reporting Period 2: August 21st -February 20th						
2.4	Conduct needs assessment of Ward 8 (November)	2 CFR §200.328				
2.5	Strategic plan refined and finalized	2 CFR §200.328				
Reporting Period 3: February 21st -August 20th						
2.6	Work with CMO leadership to codify model (May - Sept)	2 CFR §200.328				
2.7	Open additional campus to offer quality seats (August 2015)	2 CFR §200.328				
2.8	Needs assessment completed	2 CFR §200.328				
Reporting Period 4: August 21st -February 20th						
2.9	Increased enrollment benchmarks met at existing campuses	2 CFR §200.328				
2.10	Additional high quality seats offered with opening of new campus	2 CFR §200.328				

TITLE I, PART D: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit. Documents labeled "Optional" may be provided by the LEA to further support evidence of grant implementation.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1. Improving the Academic Achievement: Academic Standards and Accountability						
1.1	State/Public Agency (S/PA) demonstrates that its educational program is in alignment with the same challenging state academic standards that all children/youth in the state are expected to meet.	ESEA §§1401(a)(1); 1414(a)(1)(A); and 1414(c)(4)	<u>Mandatory</u> - 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)	<u>Mandatory</u> - 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)	<u>Mandatory</u> - 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)	<u>Mandatory</u> - 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
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit. Documents labeled "Optional" may be provided by the LEA to further support evidence of grant implementation.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.	
Indicator 2. Parental Involvement					
2.1	S/PA works with parents to secure parents' assistance in improving the educational achievement of their children and youth, and preventing their children's and youth's further involvement in delinquent activities.	ESEA §1414(c)(14)	<u>Mandatory</u> - Letters to parents - Evidence of family meeting(s) and sign in sheets - Family engagement activities - Parent communication log		
Indicator 3. General Grants Management Administration					
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)	<u>Mandatory</u> - 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)	<u>Mandatory</u> - 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	<u>Mandatory</u> - DYRS privacy policy regarding student education records		
Indicator 4. Transition Services					
4.1	S/PA coordinates with businesses for training and mentoring for participating children and youth.	ESEA §1414(c)(12)	<u>Mandatory</u> - 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)	<u>Mandatory</u> - 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)	<u>Mandatory</u> - Discharge process - Education related procedures for transitioning students.		

TITLE I, PART D: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: Documents labeled "Mandatory" must be submitted to OSSE in advance of the monitoring visit. Documents labeled "Optional" may be provided by the LEA to further support evidence of grant implementation.	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)	<u>Mandatory</u> - 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)	<u>Mandatory</u> - Job descriptions and names of staff assigned to providing career advice, distance learning, and assistance seeking student loans and grants			
Indicator 5. Staff and Professional Development						
5.1	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)	<u>Mandatory</u> - Teacher certifications - List of teachers			
5.2	S/PA provides appropriate professional development for teachers and other staff.	ESEA §1414(c)(10)	<u>Mandatory</u> - 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)	<u>Mandatory</u> - 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)	<u>Mandatory</u> - Sign in sheets; - Statements of work; - Signed contracts; and - Training certificates.			
5.5	The S/PA ensures that all teachers at the correctional facility hold a valid Standard or Initial Teacher Credential for the District of Columbia.	Title I, Part D Grant Award Notification; D.C. Code 47-2853.04(c)(3)	-Staff rosters -DC teacher credentials			

TITLE I, PART D: FISCAL MANAGEMENT AND ADMINISTRATION

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: Fiscal Management						
1.1-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			
Indicator 2: Procurement						
2.1-F-Title I-D	S/PA 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
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.	
Indicator 3: Financial Management					
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		
Indicator 4: General Accounting Practices					
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	S/PA 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
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 5: Equipment Management Controls						
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			

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.		
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.						
1. General (Compliance)						
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 - see SIG (Fiscal) tab			
Indicator 2. Implementation: The subgrantee ensures that the SIG intervention models are being implemented consistent with the final requirements of the SIG program.						
2.1 Intervention Model Specifics (Indicators for Turnaround Model only)						
2.1.1	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).	Documentation such as: - 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 2.1.3 - 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: - Flyers/notices to parents/students of meetings, events, etc. - Sign-in sheets from parent meetings/community events - Agendas for parent/community meetings - Meeting minutes from parent/community meetings			
2.2 Intervention Model Specifics (Indicators for Transformation Model only)						
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).	Documentation such as: - 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: - Allowing the school to be run under a new governance structure - Allowing the school to implement a variation of the standard school-based budget - 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 2.2.6 - 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.		
2.3 Intervention Model Specifics (Indicators for Evidence-Based Whole School Reform only)						
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 - 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			
Indicator 3. Technical Assistance: The subgrantee ensures that technical assistance is provided to its subgrantee consistent with the final requirements of the SIG program.						
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			
Indicator 4. Monitoring: The subgrantee ensures that monitoring of LEAs and schools is being conducted consistent with the final requirements of the SIG program.						
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			
Indicator 5. Data Collection: The SEA ensures that data is being collected consistent with the final requirements of the SIG program (If applicable)						
5.1	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.		
Indicator 1: School Improvement Grant (SIG) Specific Fiscal Requirements						
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 (1111(d)) and TITLE I (1003): PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: LEA completed the requirements for Comprehensive Support and Improvement Schools (CS1 and CS2 Schools)						
1.1	The LEA ensured that the required stakeholders were engaged in the needs assessment process.	ESEA §1111(d)(1)(B) and ESEA §1111(d)(1)(B)(iii)	Provide evidence of the needs assessment process occurring at CS1 and CS2 schools which includes agendas, PowerPoints and sign-in sheets that demonstrate parents, school-level staff and external partners were engaged. OSSE will provide the LEA with a list of sample schools.			
1.2	The LEA completed a resources equity analysis.	ESEA §1111(d)(1)(B)(iv)	On file with OSSE			
1.3	The LEA ensured that the required stakeholders were engaged in the school improvement planning process.	ESEA §1111(d)(1)(B)	Provide evidence of the school improvement planning process occurring at CS1 and CS2 schools which includes agendas, PowerPoints and sign-in sheets that demonstrate parents, school-level staff and external partners were engaged. OSSE will provide the LEA with a list of sample schools.			
1.4	The LEA ensured that each of its Comprehensive Support and Improvement Schools completed a school improvement plan	ESEA §1111(d)(1)(B)	On file with OSSE			
1.5	The LEA ensured that each plan's goals and strategies were informed by the data provided by DC State Report Card.	ESEA §1111(d)(1)(B)(i)	On file with OSSE			
1.6	The LEA ensured that school improvement plan included evidence-based interventions.	ESEA §1111(d)(1)(B)(ii)	On file with OSSE			
1.7	The LEA ensured that the school improvement plan was approved by the school leadership	ESEA §1111(d)(1)(B)(v)	Evidence that school leaders approved the school improvement plan including signatures, communication of confirmation, documentation that demonstrates the work flow or process of approval			
1.8	The LEA ensured that the school improvement plan was approved by the LEA leadership	ESEA §1111(d)(1)(B)(v)				
1.9	The LEA submitted the school improvement plan for SEA approval.	ESEA §1111(d)(1)(B)(v)				
1.10	The LEA ensured that the school improvement plan was periodically monitored and reviewed.	ESEA §1111(d)(1)(B)	If applicable for SY18-19, provide evidence of the school improvement plan being monitored at CS1 and CS2 schools which includes agendas, PowerPoints and sign-in sheets of meetings occurring at the school level.	- Monitoring reports - Tools		

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<p>Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.</p>			<p>Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.</p>	<p>On-Site Documents: These documents must be made available to OSSE during the monitoring visit.</p>		
<p>Indicator 2 - LEA completed the requirements for Targeted Support and Improvement Schools (TS Schools)</p>						
2.1	The LEA notified each school with respect to which subgroup or subgroups of students in such school were consistently underperforming.	ESEA §1111(d)(2)(A)(ii)	Evidence of notification to schools regarding their classification as a targeted support and improvement school - meeting agendas and materials, sign-in sheets, evidence of correspondence between LEA and transmittance of correspondence, etc.			
2.2	The LEA ensured that each of its Targeted Support and Improvement Schools (TS) created a school-level targeted support and improvement plan	ESEA §1111(d)(2)(B)	The targeted support and improvement plan for each TS school			
2.3	The LEA ensured that the required stakeholders were engaged in the process of creating the school-level targeted support and improvement plan.	ESEA §1111(d)(2)(B)	Evidence of required stakeholder engagement during the school improvement planning process at TS schools which includes agendas, PowerPoints and sign-in sheets that demonstrate parents, school-level staff and external partners were engaged.			
2.4	The LEA ensured that each plan's goals and strategies were informed by DC State Report Card.	ESEA §1111(d)(2)(B)(i)	Evidence of the data used to inform the school-level targeted support and improvement plans - data files that tie to the goals of improvement plans, etc.			
2.5	The LEA ensured that school-level targeted support and improvement plan included evidence-based interventions.	ESEA §1111(d)(2)(B)(ii)	Evidence that selected interventions are evidenced based and relevant to the subgroup underperformance at each TS school			
2.6	The LEA ensured that the school-level targeted support and improvement plan was monitored, upon submission and throughout implementation.	ESEA §1111(d)(2)(B)(iv)	Evidence of the LEA monitoring the implementation of Target Support and Improvement Plans at the school-level such as monitoring protocol, walk through documents, notes from monitoring visits, the monitoring tool, communication to the school regarding the results of the monitoring visit			
2.7	The LEA created a policy to address unsuccessful implementation of the school-level targeted support and improvement plan within a specified number of years (determined by the LEA).	ESEA §1111(d)(2)(B)(v)	Evidence of a written policy to address unsuccessful implementation of the school-level targeted support and improvement plans and evidence of its implementation			
2.8	The LEA completed a resource equity analysis.	ESEA §1111(d)(2)(C)	Evidence of the resource equity analysis process and the outcomes/findings of the analysis			
2.9	The LEA ensured that identified resource inequities identified during the resource equity analysis were addressed through the implementation of the school-level targeted support and improvement plan.	ESEA §1111(d)(2)(C)	Evidence that the outcomes of the resource equity analysis were addressed in the school-level targeted support and improvement plans	Evidence that data were reviewed: meeting minutes, presentation materials, examples of data reviews, reports.		

Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
<p>Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored.</p>			<p>Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.</p>	<p>On-Site Documents: These documents must be made available to OSSE during the monitoring visit.</p>		
<p>Indicator 3 - General requirements under Section 1003 School Improvement</p>						
3.1	<p>The LEA ensured that it used a rigorous review process to recruit, screen, select, and evaluate any external partners with whom the local educational agency partnered</p>	<p>ESEA §1003(e)(1)(D)</p>	<p>Provide evidence of the process that the LEA used to recruit, screen, select, and evaluate any external partners which includes request for proposals, memorandum of understanding, sample templates of how external partners are evaluated and an example of an evaluation</p>			
3.2	<p>The LEA ensured that it modified practices and policies to provide operational flexibility that enables full and effective implementation of the plans.</p>	<p>ESEA §1003(e)(1)(F)</p>	<p>Provide evidence of modified practices and policies to provide operational flexibility that enables full and effective implementation of the plans (.e.g., examples of old and new versions of policies and procedures, changes to resources, etc.).</p>			

TITLE I, PART A(1003): FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: Comprehensive Support and Improvement Schools (CS1 Schools)						
1.1-F-1003	The LEA 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)(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 CS1 schools. OSSE will provide the LEA with a list of sample schools.			
1.2-F-1003	The LEA can ensure other Federal, State, and local resources to carry out the activities align with the funds received to support CS1 schools.	ESEA §1003(e)(1)(E)	On file with OSSE			

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

SOAR: PROGRAM MANAGEMENT AND ADMINISTRATION						
Activity	Program Agreement Activity	Citation	Evidence		Determination	Remarks
Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored. Sample program goals and reporting deliverable included below.			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						
1.11	Sustain mathematics growth for student proficiency in all classrooms at 70% as measured by interim assessments.	2 CFR §200.328				
1.12	Sustain growth for student proficiency for SPED students in all classrooms at 50% as measured by interim assessments.	2 CFR §200.328				
Project Goal 2: Develop Teacher Quality through structured professional development and hiring practices.						
Objective 2.0: Train teachers in Common Core strategies and ELL/SPED best practices						
Reporting Period 1: February 21st -August 20th						
2.1	Hire new staff.	2 CFR §200.328				
2.2	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				
Reporting Period 2: August 21st -February 20th						
2.3	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				
Reporting Period 3: February 21st -August 20th						
2.4	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				
2.5	Improvement of students with Special Needs achievement scores by 5% as measured by A-Net 3 (2/15).	2 CFR §200.328				
2.6	Improvement of targeted student achievement scores by 15% as measured by A-Net 3 (2/15).	2 CFR §200.328				

SOAR: PROGRAM MANAGEMENT AND ADMINISTRATION						
Activity	Program Agreement Activity	Citation	Evidence		Determination	Remarks
Note: Indicators and evidence will be LEA-specific. This information will be entered into the tool for the LEAs that will be monitored. Sample program goals and reporting deliverable included below.			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	Score at least an increase of 15% proficiency for each targeted student grade level as measured by DCCAS.	2 CFR §200.328				
2.8	Score at least 35% proficiency for SPED students in each grade level as measured by DCCAS.	2 CFR §200.328				
Reporting Period 4: August 21st -February 20th						
2.9	On-going coach and training for staff movement to Common Core Readiness.	2 CFR §200.328				

MCKINNEY VENTO: PROGRAM MANAGEMENT AND ADMINISTRATION					
Indicator	Guiding Statement	Citation	Evidence	Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.	
Indicator 1: The subgrantee is compliant with ESEA Title I Homeless program requirements					
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).	
Indicator 2: The subgrantee has implemented the McKinney-Vento requirements					
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 with OSSE		

MCKINNEY VENTO: 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.		
2.5	There is evidence that: a. The subgrantee has a procedure for communicating information regarding enrollment in public schools for homeless families. b. Schools are knowledgeable of the policies and procedures.	42 USC §§11432(g)(3)(B)-(g)(3)(C)	The subgrantee must provide evidence of compliance, which may include the following: - 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) - Parent meeting/activity calendar, agenda, and sign-in/attendance sheets - Evidence of parent/community outreach (e.g., PowerPoint deck, flyer, and other handouts) - PD schedule that includes MKV training for staff (e.g., materials distributed during the training session, agenda, sign-in sheet)			
2.6	There is evidence that 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.	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)	The subgrantee must provide evidence of compliance, which may include the following: - Subgrantee's Dispute Resolution Policy (either created by subgrantee or adopting the OSSE policy): - Evidence that the subgrantee implements a process for the prompt resolution of disputes, such as a phone log, notes, or e-mail messages - Records indicating that enrollment disputes are investigated and resolved in a timely manner - Evidence that students are enrolled and provided transportation during the dispute resolution process - Must include guidance and template of the forms that may be used to request an appeal. - 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.			
2.7	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.	42 USC §11432(g)(3)(E)(ii)	The subgrantee must provide evidence of compliance, which may include the following (if applicable): - Sample of letter of explanation to communicate enrollment decisions (e.g., a form letter or redacted letter previously submitted) - The subgrantee's documentation to communicate to families about their Right to Appeal enrollment decisions (e.g., form letter, handout, flyer, handbook excerpt, etc.) - Written parent notifications (samples) of the determination			

MCKINNEY VENTO: PROGRAM MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
2.8	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)	The subgrantee must provide evidence of compliance, which may include the following: - A copy of the final version of policies/procedures - A list of programs offered to the general population and assessment tool(s) used to determine individual student's needs			
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)	The subgrantee must provide evidence of compliance, which may include the following (if applicable): - List of services and resources offered for homeless students. - Needs assessment to determine appropriate services for eligible students (e.g. process and assessment tools used to gather information) - Documentation of services provided to homeless students			
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)	The subgrantee must provide evidence of compliance, which may include the following (if applicable): - Brochures/flyers shared with parents regarding the MySchoolDC/Lottery process. - General review of all policies/procedures may act as barriers - Documents related to activities associated with homeless pre-school youth			
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)	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).			
2.12	The subgrantee has a procedure for assisting homeless, unaccompanied youth in placement and enrollment decision.	42 USC §11432(g)(3)(B)(iv)	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.			

MCKINNEY VENTO: 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.		
2.13	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 with 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
			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.		
2.19	There is evidence that the subrecipient is implementing the McKinney-Vento program as described in the approved application. (GRANT SUBRECIPIENTS ONLY)	42 USC §11433(b)	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.			

MCKINNEY VENTO: FISCAL MANAGEMENT AND ADMINISTRATION						
Indicator	Guiding Statement	Citation	Evidence		Determination	Remarks
			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
Indicator 1: McKinney-Vento Program- Specific Fiscal Requirements						
1.1-F-MKV	If applicable to the 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 with 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 with OSSE			

The Special Education Enhancement Fund (SEEF) competitive grant for FY18 (cohort 1) and FY19 (cohort 2) 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. (Cohorts 1 and 2)
- Demonstrate the project’s ability to improve graduation, secondary transition, and post-secondary outcomes for students with disabilities. (Cohort 1: all, Cohort 2: if serving middle school or high school)
- Demonstrate partnerships developed between nonpublic schools, public schools, and/or public charter schools to provide special education services and training (Cohort 2: all)
- Demonstrate the project’s ability to ensure that children with disabilities served in early intervention (IDEA Part C) receive a smooth and effective transition to special education (IDEA Part B) and support timely evaluation and service delivery for children ages 3-6, with a focus on the beginning of the school year; (Cohort 2: if serving pre-K or elementary school)

In accordance with its cohort 1 or cohort 2 SEEF competitive grant application, OSSE is conducting a review of the LEA's main proposed grant activities. In addition, as part of consolidated risk-based monitoring for federal grants, OSSE conducts school-based site visits to a subset of schools. The purpose of the visits are to observe strategies outlined in the SEEF grant plans for each school, alongside other monitoring for other grants.

As a part of the visit, OSSE will speak with stakeholders (school leaders, teachers, parents, and age-appropriate students) about SEEF-funded grant activities, review documents as evidence of activities, and if scheduling allows, observe staff work with students on grant-funded activities.

The table below outlines each of the grant's proposed project activities and possible evidence for each.

Indicator	Grant Application Activity or Medium Term Outcome (from Application Narrative and Logic Model)	Citation	Evidence	Determination	Remarks
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.			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.	
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.					
Project Activity 1: (EXAMPLE - Insert specific activity from approved grant application) Campus Directors of Student Support					
1.1.1	Onboard Campus Directors (August-September)	DC Code §38-2613	- 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 §38-2613	- Evidence of collaboration sessions (e.g., agendas, meeting notes, sign-in sheets) 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 §38-2613	- Evidence of plans developed with school leaders to support staff on special education (e.g., planning documents, PD schedules)		
1.1.4	Campus Directors update campus staffing (if applicable) to support students with IEPs and inclusive practices.	DC Code §38-2613	- 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 §38-2613	- 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 §38-2613	Agendas and sign in sheets from coaching sessions for special educators		

Indicator	Grant Application Activity or Medium Term Outcome (from Application Narrative and Logic Model)	Citation	Evidence		Determination	Remarks
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.			Pre-Site Documents: These documents must be submitted to OSSE in advance of the monitoring visit.	On-Site Documents: These documents must be made available to OSSE during the monitoring visit.		
1.1.7	Campus Directors provide regular observations and feedback with special educators throughout the year	DC Code §38-2613	- Evidence of regular cycle of observations and feedback sessions with special educators throughout the year			
Project Activity 2: (EXAMPLE - Insert specific activity from approved grant application) Intensive Intervention for Struggling Readers using Lindamood-Bell						
1.2.1	Train teachers on Lindamood-Bell (L-B)	DC Code §38-2613	- Evidence of trainings (e.g., agendas, sign-in sheets, schedules) to train teachers on L-B interventions			
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 §38-2613	- Evidence intervention occurred (e.g., schedules, roster of students that received intervention).			
SEEF Grant Priority #2: improve graduation, secondary transition, and post-secondary outcomes for students with disabilities (if applicable)						
Project Activity 3: (EXAMPLE - Insert specific activity from approved grant application) Improved High School Transition Services						
2.3.1	Director of College Support conducts numerous activities to help support students with disabilities in transitioning out of high school.	DC Code §38-2613	- 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 §38-2613	- Evidence of EEIL assessments and sample results			
2.3.3	Subgrantee hosts College Fair (September)	DC Code §38-2613	- Event schedule - Sign-in sheets			
2.3.4	High school seniors apply for college and/or certification programs (fall/winter)	DC Code §38-2613	- 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 §38-2613	- Evidence of job training placements developed and secured (e.g., list of placements, schedules, summary charts of placements)			
2.3.6	KTC Director of College Support holds individual post-secondary planning meetings with seniors (February-March)	DC Code §38-2613	- Evidence of individual post-secondary planning meetings (e.g., agendas, schedule, sign-in)			
2.3.7	Identified college supports and accommodations for college-bound students with disabilities	DC Code §38-2613	- Evidence of specific college-level supports identified for SWD			