

Program and Fiscal Monitoring – Fall 2023

For CSI, TSI and ATSI

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Office of School Improvement (OSI)
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mdek12.org



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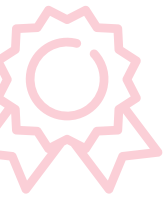
VISION

To create a world-class educational system that gives students the knowledge and skills to be successful in college and the workforce, and to flourish as parents and citizens



MISSION

To provide leadership through the development of policy and accountability systems so that all students are prepared to compete in the global community



1

ALL Students Proficient and Showing Growth in All Assessed Areas



2

EVERY Student Graduates from High School and is Ready for College and Career



3

EVERY Child Has Access to a High-Quality Early Childhood Program

EVERY School Has Effective Teachers and Leaders

4



EVERY Community Effectively Uses a World-Class Data System to Improve Student Outcomes

5



EVERY School and District is Rated “C” or Higher

6





To review the OSI monitoring process



To provide context on roles and responsibilities of the school district/school administration for both fiscal and programmatic plan implementation

Monitoring determines whether school improvement plans are being implemented with fidelity and the required controls are in place to ensure programmatic and fiduciary responsibility.

The monitoring process includes record reviews, document reviews, and interviews which are intended to identify noncompliance and provide recommendations intended to support continuous improvement.



On-Site Monitoring



Virtual Monitoring

Risk Assessment
Criteria

Results from the
single audit

Failure to timely
drawdown grant
funds

District/School
Community
Engagement
Councils (CEC)

Unresolved
noncompliance from
previous monitoring
reviews and audits

Additional concerns
raised by OSI
director, OSI coach,
OFP, and/or OGM

- Please describe the process used by the school leadership team in collaboration with the district leadership to identify and select evidence-based interventions.
 - **Indicator TT-3 – TSI Plan Selection of Evidence-Based Interventions (Sec. 1111(d)(2)(B)(ii))**
- Please describe what the school will do with stakeholders to develop and implement a school-level TSI plan.
 - **Indicator TT-4 – TSI Stakeholder Engagement (Sec. 1111(d)(2)(B))**
- Please describe how the LEA will support developing or implementing TSI/ATSI plans.
 - **Indicator TT-5 – Development of TSI Plan(s) (Sec. 1111(d)(1)(B)(i))**
- Please describe how the district will monitor schools receiving Section 1003 funds.
 - **Indicator TT-8 – LEA Monitoring of Plan Implementation (Sec. 1111(d)(2)(B)(iv)-(v))**



Pre – Monitoring Activities

- Two weeks prior to the monitoring, the District is responsible for uploading the requested documents in MCAPS for compliance indicators outlined in the monitoring instrument.
- The review will consist of programmatic documents from the 2022-2023 school year and all 1003 funds expended in 2022-2023 (FY21, 22, 23).
- The OSI Monitoring Team will review uploaded documents prior to the on-site visit.
- Additional documents maybe requested prior to or during the monitoring visit.



On-Site Monitoring Visit and Activities

- The review will begin with an entrance interview with all members of the LEA Monitoring Team. All program staff involved in monitoring **must** be accessible during the monitoring review.
- The LEA Monitoring Team may consist of the Federal Programs Director, School Improvement Facilitator, Business Manager, and other fiscal personnel (*bookkeepers, accountants, etc.*).

- The OSI Monitoring Team reviews policies, procedures, evidence of implementation, supporting documentation, visits selected schools, and interviews staff as needed.
- The district has two (2) business days to provide additional documentation to address any areas of concern.



Monitoring Report Issued

- The OSI Monitoring Director will email the official monitoring report typically within 45 days of monitoring.
- However, there are instances that require a longer internal review process prior to release.
- The report contains findings of noncompliance and required corrective actions.

Fiscal Indicators

- Cross-cutting indicators A-K

- A. Accounting Systems and Fiscal Controls
- B. Period of Availability
- C. Audit Requirements
- D. Internal Controls
- E. Records and Information Management

- F. Equipment Management
- G. Personnel
- H. Procurement
- I. Indirect Cost
- J. Budget and Activities
- K. Allocations

Programmatic Indicators

- SS. Comprehensive Support and Improvement (CSI) School
- TT. Targeted Support and Improvement (TSI) School
- UU. Additional Targeted Support and Improvement (ATSI) School

	Description of Program Requirements	Evidence of Program Implementation Required MCAPS upload by LEA/Subgrantee/MDE Reviews MCAPS Prior to Visit	YES	NO	Questions	Comments
TT. TITLE I, PART A: Targeted Support and Improvement (TSI) SCHOOL (COMPLETE THIS SECTION ONLY IF ONE OR MORE SCHOOLS HAVE BEEN IDENTIFIED AS TSI)						
TT-4	TSI Stakeholder Engagement <i>(Sec. 1111(d)(2)(B))</i>	<input type="checkbox"/> Evidence of outreach to stakeholders (i.e., emails, web notifications, meeting notes, if applicable, surveys, etc.)			<input type="checkbox"/> How did TSI schools' partner with stakeholders (including principals and other school leaders, teachers and parents) in developing TSI plans?	

LEA Financial Department

- Ensure last approved budget is in the accounting system
- Collaborate on a regular basis to monitor drawdowns, allowable expenditures, and grant funded staff
- Ensure accuracy of grant funded fixed assets

Fixed Assets

- Ensure a complete asset check is current and available
- Ensure documentation of missing, stolen equipment is on file

Evidence of Fixed Assets

- Confirm the appropriate personnel are available and scheduled for the review/verification of equipment
- Provide the OSI staff with a current, detailed equipment list
- Each fixed asset will be verified by observing the following:
 - ✓ Device
 - ✓ Equipment tag

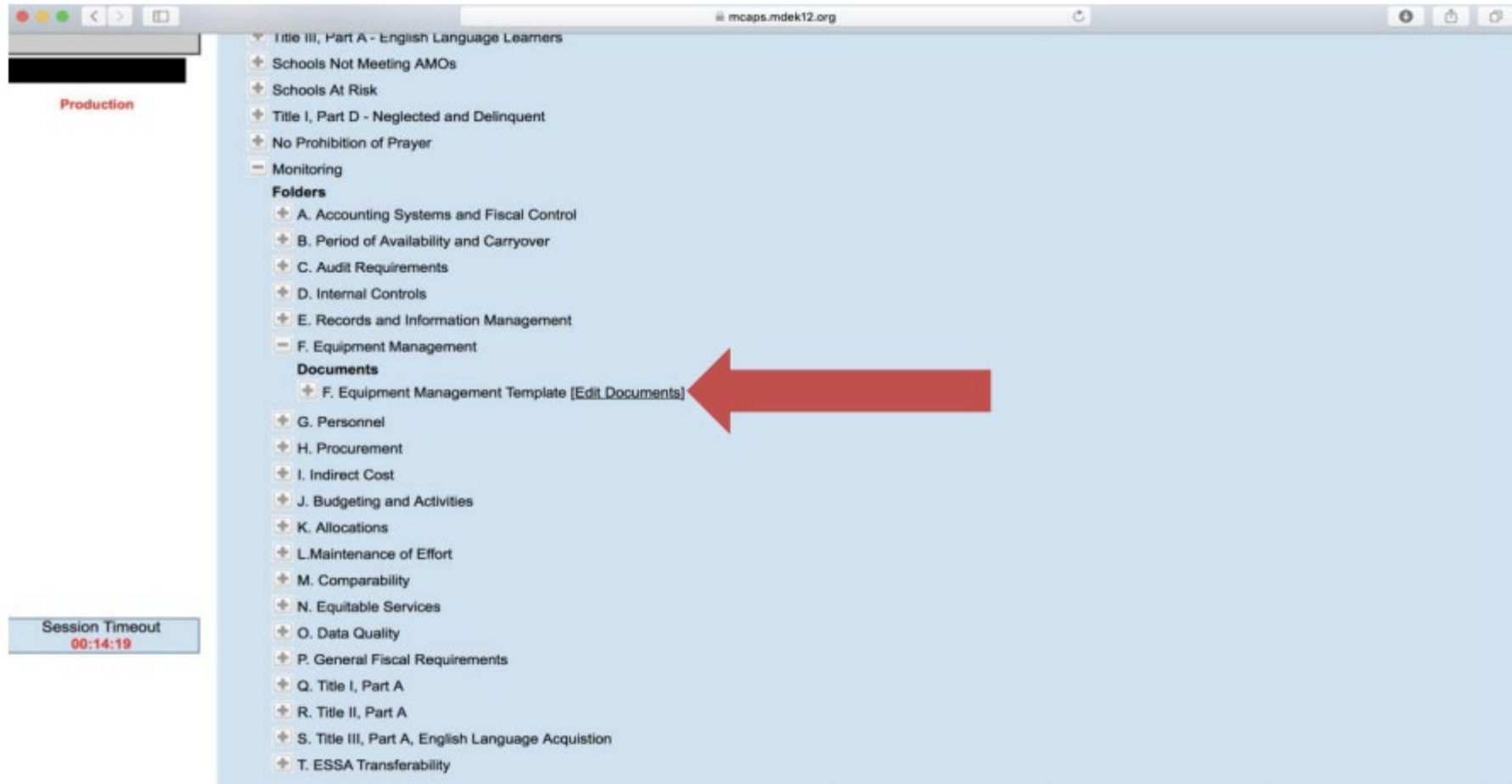


The LEA will use MCAPS to upload monitoring documents in appropriate FY23 folders.

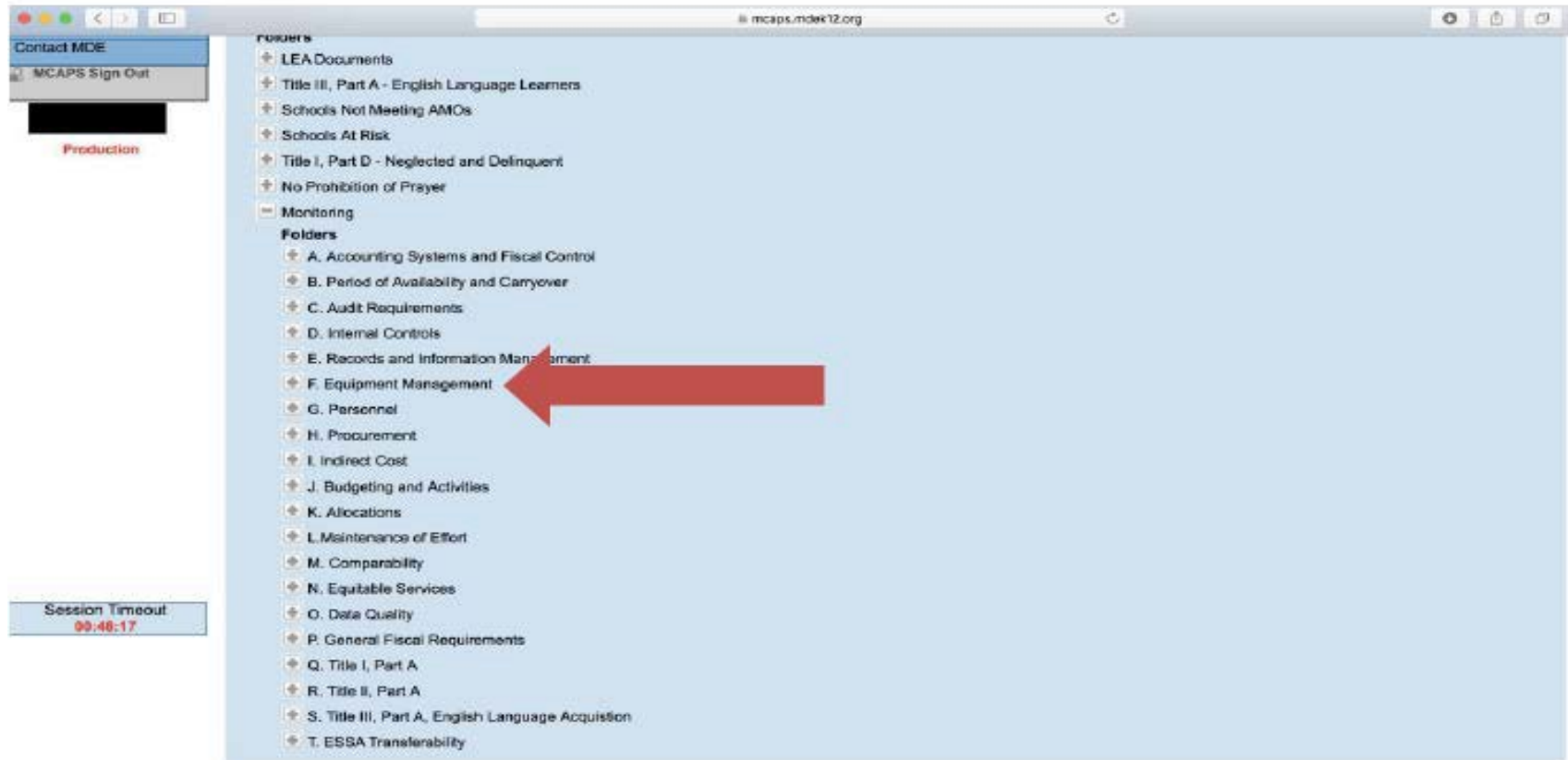
LEA Document Library > 2023 > Monitoring

The screenshot displays the LEA Document Library interface. At the top, it shows the title "LEA Document Library" and a dropdown menu for "District - FY 2023". Below this is a search bar labeled "LEA Document Library Search" with the prompt "Enter Search Text:". Underneath the search bar, there is a "Root Folders:" section with a dropdown menu containing the options "General", "2023", "2022", "2021", and "2020". A red arrow points to the "2023" option. Below the dropdown is a "Search Folders" button. The main content area is titled "LEA Document Library [Expand All] [Collapse All]" and shows a tree view of folders. The "2023" folder is expanded, showing sub-folders: "Emergency Impact Aid (EIA)", "Equitable Services to Private Schools", "LEA Documents", and "Monitoring". A red arrow points to the "Monitoring" folder. Under "Monitoring", there is a sub-section for "Folders" with options "A. Accounting Systems and Fiscal Control" and "Documents" with a sub-option "A. Accounting Systems and Fiscal Controls Template [Edit Documents]". Other folders listed include "B. Period of Availability and Carryover", "C. Audit Requirements", "D. Internal Controls", "E. Records and Information Management", "F. Equipment Management", and "G. Personnel".

Select appropriate folder to upload document



Select appropriate folder to upload document



Complete the Indicator Document Template

District Name _____

The information in the folders for **Equipment Management** include:

Indicator #	Items Uploaded	Comment
A1	<ul style="list-style-type: none">• Purchasing Procedures (see page 5)• See Folder B	

Add Indicator #

- Name of document for corresponding indicator (include specific reference if applicable)
- Include a link to the LEA's policies/procedures online if applicable

Upload document according to indicator page

Update Documents And Links

Public District - []

Document Information	
Document Name	F. Equipment Management Template
Folder Hierarchy	[] Monitoring F. Equipment Management
Upload Begin Date	[]
Upload End Date	
Minimum Required Count	1
Maximum Allowed Count	
Document Template	F. Equipment Management Template

[Create Link](#)
[Upload Document](#) ←

Documents/Links



Remember.....

- **“The more you give, the more we know.”**
- **Upload documents specific to indicator**
- **Upload LEA’s policy and/or LEA’s procedure**
- **Highlights and reference notes are acceptable**

- Lack of written policies and/or procedures
- Lack of implementation of written policies and/or procedures (LEAs not following their own written policies and/or procedures)
- Insufficient evidence of implementation
- Incomplete procurement packets
- Lack of competitive processes (e.g., 2nd quotes, competitive bids)
- Excessive use of Sole Source letter
- Lack of segregation of duties

- Improper documentation of lost/stolen equipment
- Time and Effort
- Expenditures exceed approved budget (overbudget)
- Tracking of Title I 20% set-aside
- The submitted policy and/or procedure lacked required elements
- Did not implement policy and/or procedure as written
- Did not submit policy and/or procedure



Please complete this survey to help the OSI improve its training and supports for the monitoring process.



The survey should take no more than five minutes to complete.





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