# Program and Fiscal Monitoring – Spring 2024

## For CSI, TSI and ATSI

mdek12.org

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**Office of School Improvement (OSI)**
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MISSISSIPPI DEPARTMENT OF EDUCATION

# 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
4. **EVERY** School Has Effective Teachers and Leaders
5. **EVERY** Community Effectively Uses a World-Class Data System to Improve Student Outcomes
6. **EVERY** School and District is Rated “C” or Higher

# Learning Targets

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

# Purpose of Monitoring



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.

# Types of Monitoring

## On-Site Monitoring

## Virtual Monitoring

# Identification Criteria for 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

# MCAPS Part I: District Application for Section 1003



- 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

# Monitoring Process and Procedures



- 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

# Monitoring Process and Procedures

- 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.*).

# Monitoring Process and Procedures

- The OSI Monitoring Team reviews polices, 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

# Monitoring Process and Procedures



- 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

# Monitoring Instrument Summary



| | 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** *(Sec. 1111(d)(2)(B))* | ☐ Evidence of outreach to stakeholders (i.e., emails, web notifications, meeting notes, if applicable, surveys, etc.) | | | ☐ 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

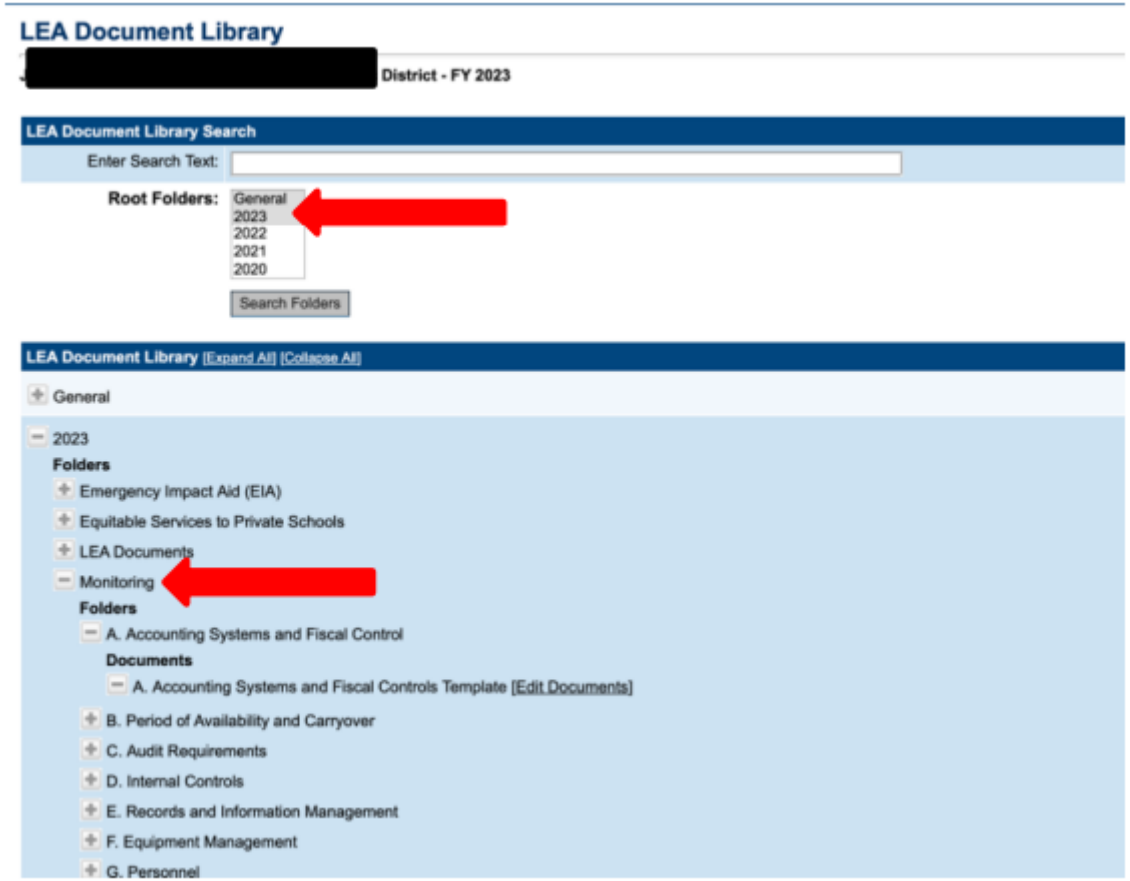
# Programmatic and Fiscal Monitoring – Document Upload



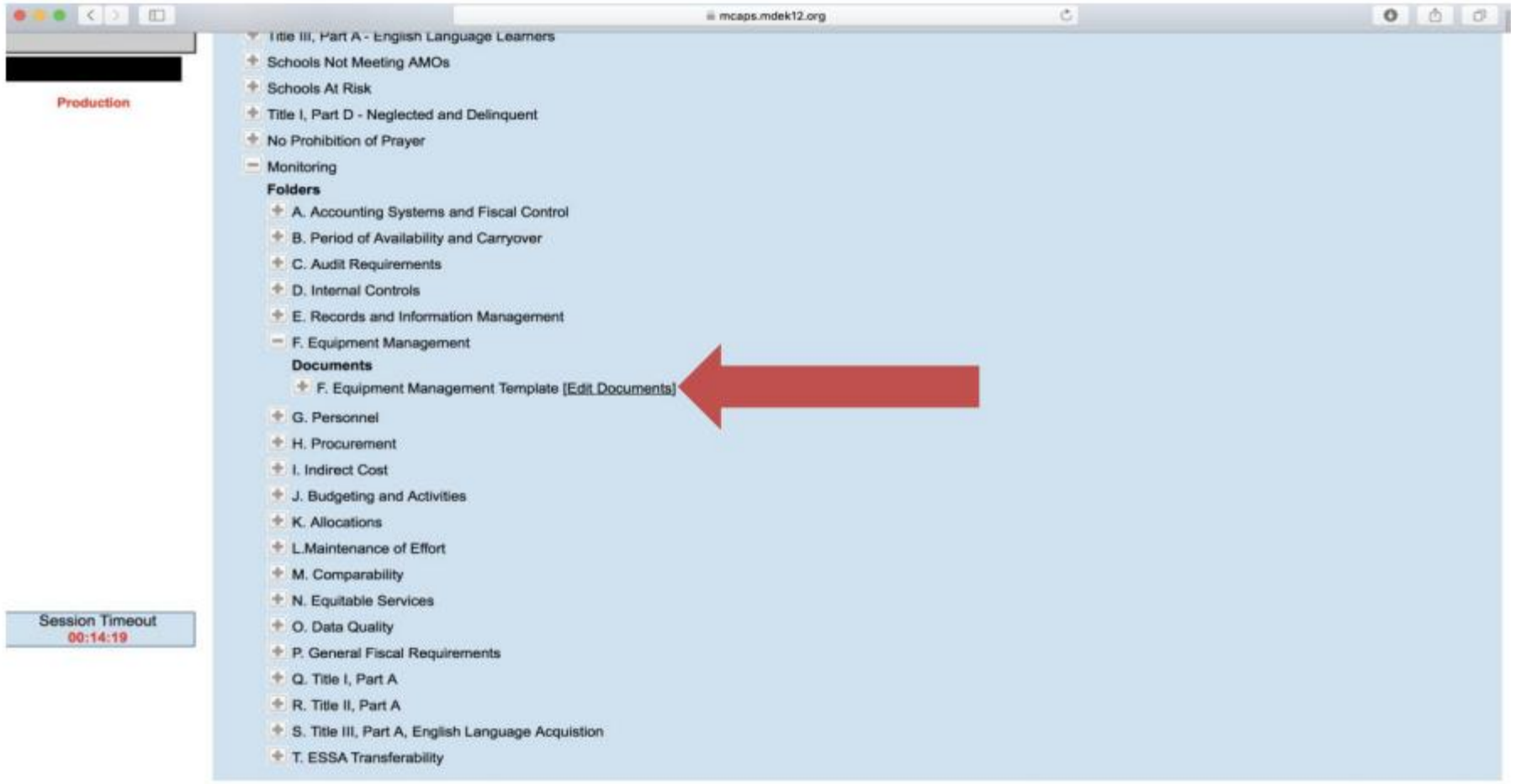


**The LEA will use MCAPS to upload monitoring documents in appropriate FY23 folders.**

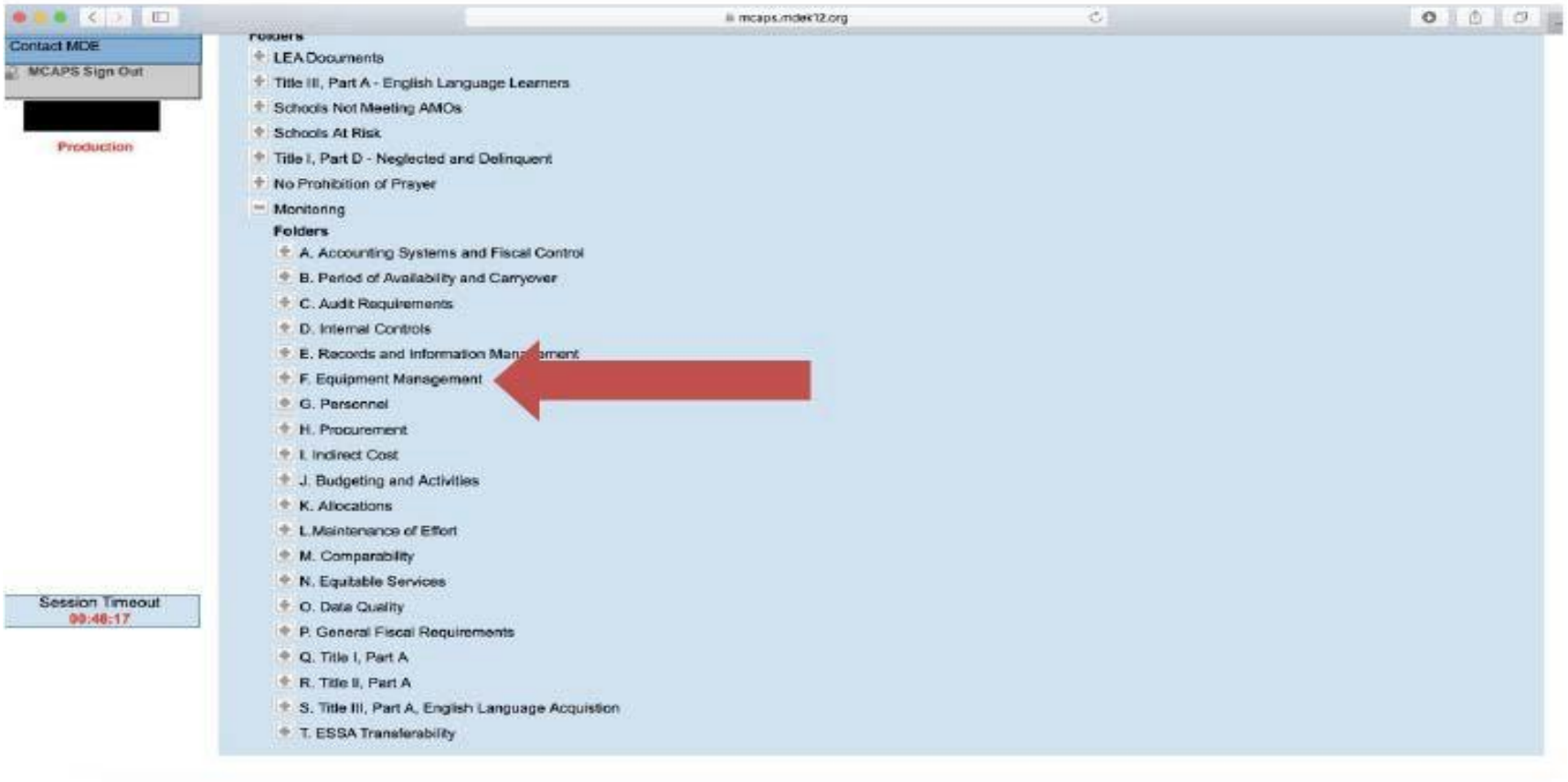
# LEA Document Library > 2023 > Monitoring



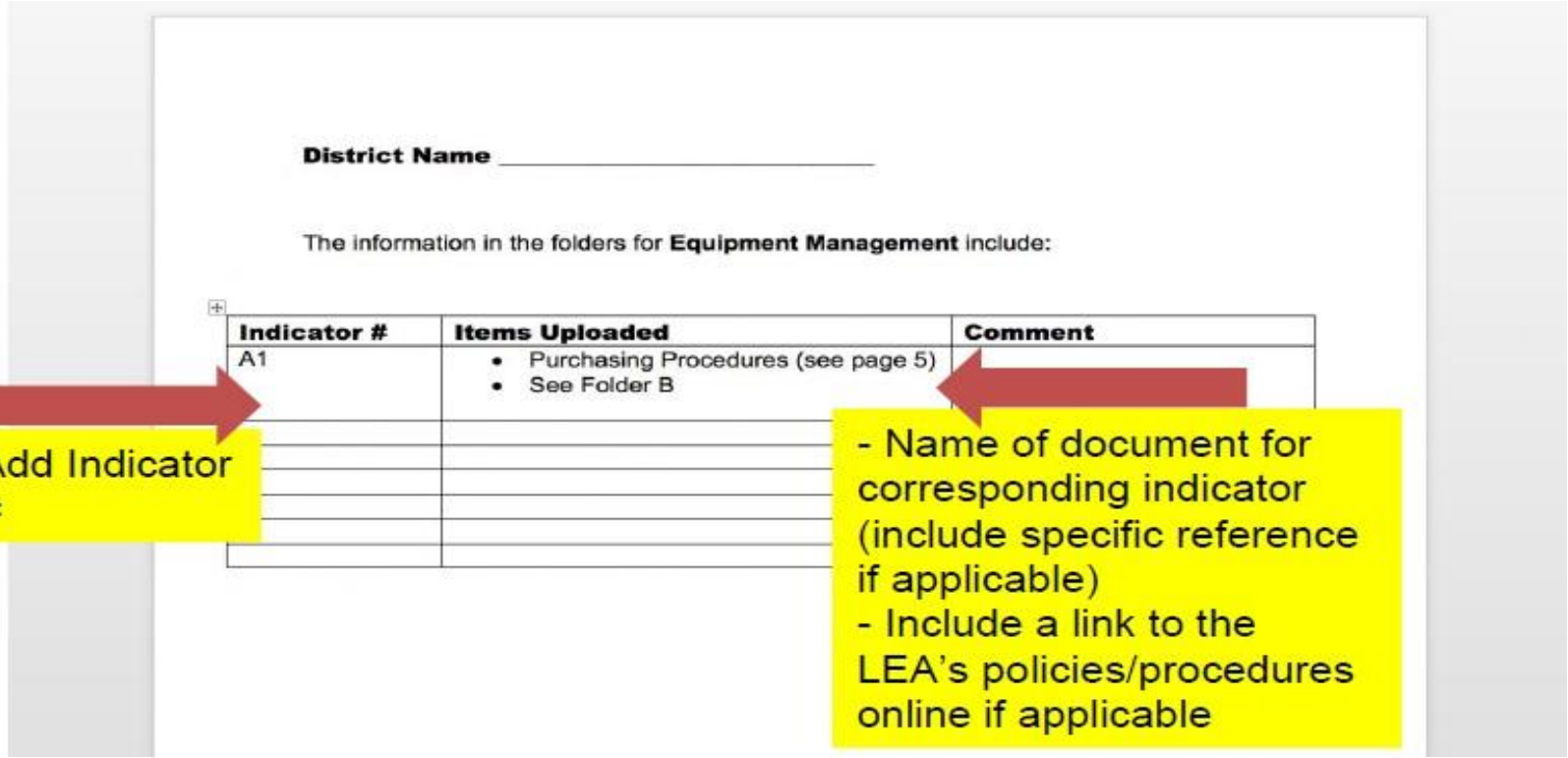
# Select appropriate folder to upload document



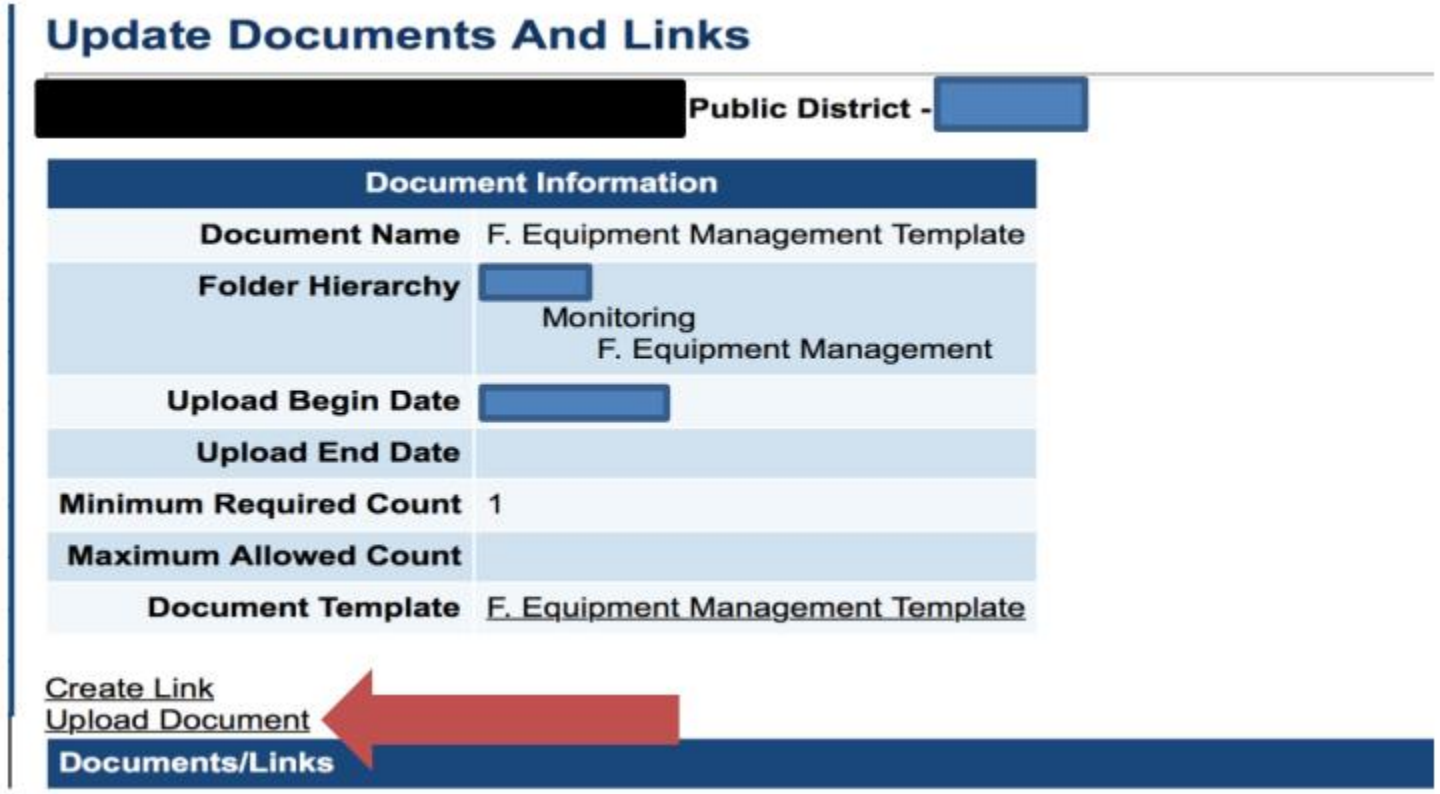
# Select appropriate folder to upload document



# Complete the Indicator Document Template



# Upload document according to indicator page



## 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

# Common Monitoring - Issues



- 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

# Common Monitoring - Issues



- 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

# Program & Fiscal Monitoring Training Survey



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.

Q&A

# Office of School Improvement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