# DELAWARE DEPARTMENT OF EDUCATION

***2019–2020***

***FEDERAL PROGRAMS***

***PLANNING AND GRANT LIFECYCLE***

***CROSS MONITORING TOOL KIT***

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# Planning and Grant Lifecycle

### Complete Needs Assessment

LEAs should examine relevant data to understand the most pressing needs of students, schools, and educators.

### Engage Families/Stakeholders

LEAs should engage in timely and meaningful consultation with a broad range of stakeholders (families, students, educators, community, and partners)

### Create Strategic Plan

LEAs should set goals and targets, and determine the possible evidence based interventions and programs that will best serve their needs.

### Evaluate Available Resources

LEAs should evaluate all the available resources, including various funding streams using rigorous and relevant evidence and assessing the local capacity to implement the intervention.

### Submit Consolidated Grant

LEAs should enter their plans and budgets for Federal Programs into the Consolidated Grant Application in eGrants for approval, checking to make sure they are allowable, reasonable and necessary.

### Implement Strategies/Action Plans

LEAs should implement their evidence based interventions and programs, collecting information along the way about how the implementation is working.

### Monitor Plan Implementation

LEAs should examine their own implementation and assure compliance through statements and uploads of evidence in eGrants for approval and possible targeted assistance needs.

### Evaluate Intended Outcomes

LEAs should examine the impact and the effectiveness of their interventions as compared to their identified targets and goals. After

reflecting on the progress, LEAs should determine if the interventions and programs need to be continued, modified, or discontinued and start the Planning and Grant Lifecycle again.

## What is the focus of our work?

The Title Programs and Grants Support Division provides and supports $102,700,000+ in state and federal funds to districts and schools each year. The primary role of the workgroup is to provide grants administration, program monitoring, data collection/reporting, and to facilitate the necessary technical assistance to ensure not only compliance, but quality evidence based programs for students that increase academic achievement.

Compliance is the first step toward program quality; monitoring is the springboard to providing technical assistance.

## Why do we monitor?

1. **Building Relationships** - We're in this together.
   The Department of Education's main objective is to raise student achievement for Delaware's public school children. Through cooperative assessment of the federal programs between the State and the local education agencies (LEAs), the quality of services to students will be strengthened and improved.

2. **Technical Assistance** - We're here to help.
   State monitoring team members provide technical assistance during the monitoring cycle and beyond. It is not the State's intent to tell the LEA *how* to run its title programs, but rather to answer questions, facilitate dialogue, and exchange ideas and information for program improvement.

3. **Compliance** - It's the law.
   Monitoring federal programs helps ensure that all children have a fair, equal, and significant opportunity to obtain a high-quality education. Monitoring is intended to be a collaborative partnership between the State and districts and public charter schools to ensure compliance with the Elementary and Secondary Education Act and its ESSA reauthorization.

## Federally-Funded Programs and Budgets

- Title I, Part A - Improving Basic Programs Operated by State and Local Education Agencies
- Title II, Part A - Preparing, Training, Recruiting High-Quality Teachers, Principals, Other School Leaders
- Title III, Part A - Language Instruction for English Learners and Immigrant Students
- Title IV, Part A - Student Support and Academic Enrichment
- General Fiscal – Procurement, Property, Employee Certifications, Equitable Share and Budget vs. Expenditures
- ESSERF - Elementary and Secondary School Emergency Relief Fund

**CTE and IDEA are not included in the eGrants Monitoring Application at this time.*

# Federal CROSS Monitoring System

# Common Compliance Strands

The above federal programs are reviewed using the following interrelated compliance strands:

I. **Stakeholder Engagement.** Parents, staff, students, community members, and other stakeholders participate, develop, implement, and evaluate programs at the LEA and school levels.
II. **Governance, Administration and Funding.** Applications, plans, administration of programs, allocation and use of funds to meet statutory requirements.
III. **Program Quality.** Programs are implemented using evidence based strategies and services, high quality staff, and high quality professional development which is all aligned to a comprehensive needs assessment.
IV. **ESSA and Federal Grant Accountability.** System for all public schools to improve student achievement and evaluate the performance of individual schools.

## Rating Scale/Summary Report

| Meets All Requirements | Meets Most Requirements With Recommendations | Does Not Meet Requirements |
|---|---|---|
| **100% of the applicable practices were completed.**<br><br>All monitoring questions were completed.<br><br>All required documents that support practices for each question were uploaded into system.<br><br>Compliance was completely consistent. | **90% - 99% of the applicable practices were completed.**<br><br>Most monitoring questions were completed.<br><br>Most of the required documents that support practices for each question were uploaded into the system.<br><br>Compliance was mostly consistent.<br><br>Targeted Technical Assistance is required for future improvement. | **Below 90% of the applicable practices were completed.**<br><br>Some monitoring questions were completed.<br><br>Some of the required documents that support practices for each question were uploaded into the system.<br><br>Compliance was inconsistent.<br><br>***Requires enhanced monitoring, technical assistance, and automatic participation in the next year's review cycle.** |

**Quarterly Monitoring Reports** will give LEAs an idea of how well they are completing the requirements of the system. It is the goal of the Delaware Department of Education to have each LEA be 100% completed and compliant by June 1 of the monitoring year. In July, a Final Summary Report will be sent to the Superintendent or Charter School Leader indicating their completion percentage. The following rubric will be used to guide what is contained in the summary report. *Please note that LEAs that are designated as "Does Not Meet Requirements" will automatically participate in the following year's review cycle.

# Monitoring Tool Basic Navigation

## Monitoring Instruments Main Page

- Launching point to all of a district's monitoring instruments
- Click Instrument name to launch into Sections page

- View filters
  - Fiscal Year
  - Instrument status filter

eGrants LEA Training Module 2:
Cross-Program Consolidated Monitoring

1

## Sections

- Overview of monitoring instrument
- Launching point to the pages within the instrument

eGrants LEA Training Module 2:
Cross-Program Consolidated Monitoring

2

# Sections - Status

- Displays current status and next possible status(es)
- Link always active; if user lacks permission, the status change confirmation screen will indicate that
- Tip: Monitoring Instrument must be moved into Draft Started status before edits can be made

# Sections

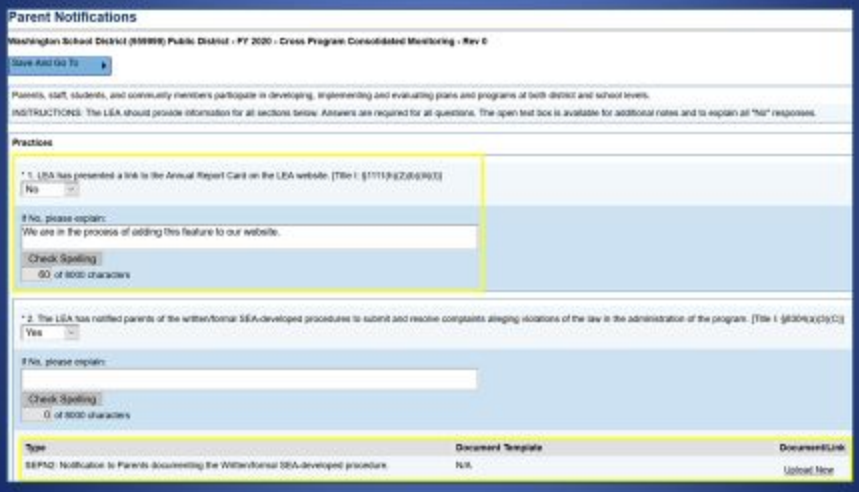
- **Section** – a grouping of related pages in a monitoring instrument
- Contains one to many pages
- Collapse/Expand individual or all Sections to simplify view
- New Section(s) may show up later in the process

# Monitoring Instrument Data Collection Format

1. Series of Yes/No Questions
2. Justify your "No" responses
3. Upload Supporting Documentation
4. Each Section has a Related Documents page
   - Documents may be uploaded here, or directly on a page that references them
   - If you upload it in one place, it will show up in the other place
   - It is the same document

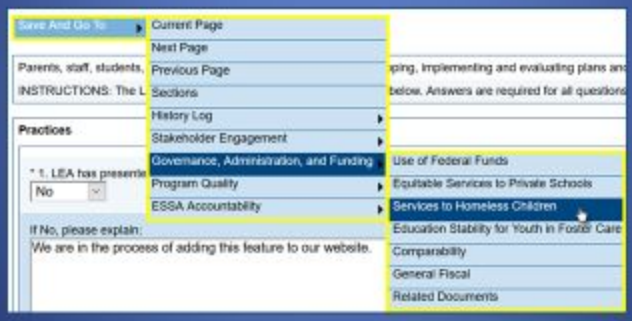


# Data Collection Sample



# Monitoring Instrument Page Navigation

- **Go To** / **Save and Go To** menu allows navigation between any pages in the monitoring instrument



# Save and Go To…continued

- Using Save and Go To refreshes session timeout
- Save and Go To Current Page: Saves changes to the page and keeps user on that page
- Save and Go To Next Page: Saves changes to the page and moves user to next page in that section
- Save and Go To Previous Page: Saves changes to the page and moves user to previous page in that section
  - If no previous or next page exist, user is returned to Sections page

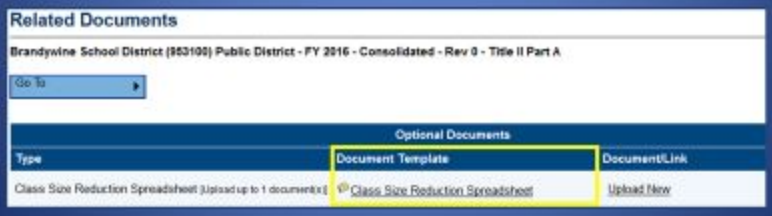


# Page Locking

- Pages are locked down when instrument is in approval process
  - Instrument must be returned unapproved if changes are desired to an application that has been moved into Draft Completed
- eGrants prevents multiple users from editing the same page simultaneously
  - User will see message indicating the user that is locking the page
  - Lock is released after that user leaves the page or the session times out

# Related Documents

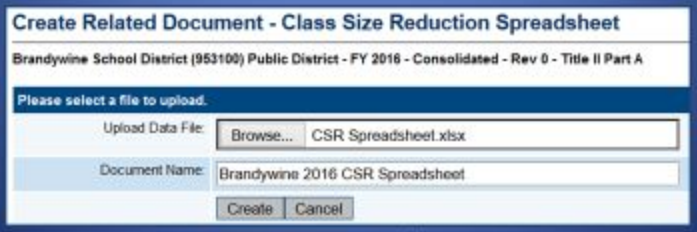
- DDOE may request that districts attach additional documentation to monitoring instrument
- DDOE may provide document template
- Documents may be required or optional






# Adding a Related Document

- Browse for file to upload
- Optionally enter a Document Name
  - If left blank, name of required document is used
  - Displays on Related Documents page, under "Document/Link" column



# Validation

- Business rule checks put in place to ensure quality of data being submitted by district
- System automatically runs validation as instrument is completed
- Presence of validation issues indicated on the **Sections** page, under the **Validation** column
  - Messages do not appear on the page as user fills out data
  - System does not prevent *saving* of "invalid" data; prevents *submission* of invalid data
  - Validation checks can span pages
  - "Invalid" data can become valid based on subsequent input

# Validation…continued

- Two types of validation messages
  - Errors: Prevent submission of application
  - Warnings: Point out potential issues but allow submission
- Filtering Messages
  - All: Show every message
  - Section: Show all messages for pages in that section
  - Page: Show all messages for that page

# Validation…continued

- Each message is a clickable link
- Clicking link will take user to the screen on which the issue was identified

| Stakeholder Engagement | | |
|---|---|---|
| | **Parent Notifications** | |
| Review | Questions marked with an asterisk (*) require a response. | Error |
| Review | An explanation is required for the following question: 1. LEA has presented a link to the Annual Report Card on the LEA website. [Title I, §1111(h)(2)(B)(ii)] | Error |
| | **Family and Community Engagement Policies and Compacts** | |
| Review | Questions marked with an asterisk (*) require a response. | Error |
| | **Related Documents** | |
| Review | The optional Related Document 'EEP43- Notification to Parents documenting LEA's request of a locally-selected assessment.' has not been uploaded. Please be certain this is the intention. | Warning |
| Review | The optional Related Document 'EEP44- Notification to parent documenting parental rights to know teacher qualifications.' has not been uploaded. Please be certain this is the intention. | Warning |



# Submission and Review Workflow

| From Status | To Status | Role to Change Status |
|---|---|---|
| Not Started | Draft Started | LEA Consolidated Update |
| Draft Started | Draft Completed | LEA Monitoring Coordinator |
| Draft Completed | LEA Chief Fiscal Officer Reviewed/Returned | Chief Fiscal Officer |
| LEA Chief Fiscal Officer Reviewed | LEA Chief School Officer Reviewed/Returned | Chief School Officer |
| LEA Chief School Officer Reviewed | DDOE Program Manager Reviewed/Returned | SEA Consolidated Program Manager |
| DDOE Program Manager Reviewed | DDOE Deputy Secretery Reviewed/Returned | SEA Deputy Secretary |
| DDOE Deputy Secretary Reviewed | LEA Review Started | LEA Monitoring Coordinator |
| LEA Review Started | Monitoring Closed | SEA Consolidated Program Manager |

# Submission and Review Workflow

- Prerequisite checks
  - Does user have permission?
  - Does time frame allow for this status change?
  - Is instrument valid? (may not run depending on status)
  - Certain approval steps require that an "Agree To" box be checked, which adds a comment to the History Log

## Status Change Outcomes

- Entry added to History Log documenting the change
- Next person in submission workflow notified by email that the instrument now requires their attention
- Instrument may be locked down or unlocked

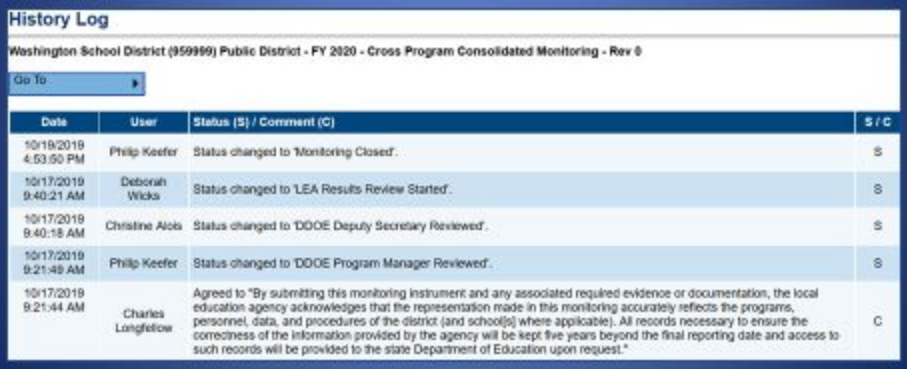


## History Log and Comments

- The History Log displays all status changes and Comments related to a monitoring instrument
- Comments are ongoing notes and discussion between DDOE and the LEA related to a monitoring instrument

# History Log

- The History Log displays all status changes and Comments related to a monitoring instrument



History Log

Washington School District (959999) Public District - FY 2020 - Cross Program Consolidated Monitoring - Rev 0

Go To

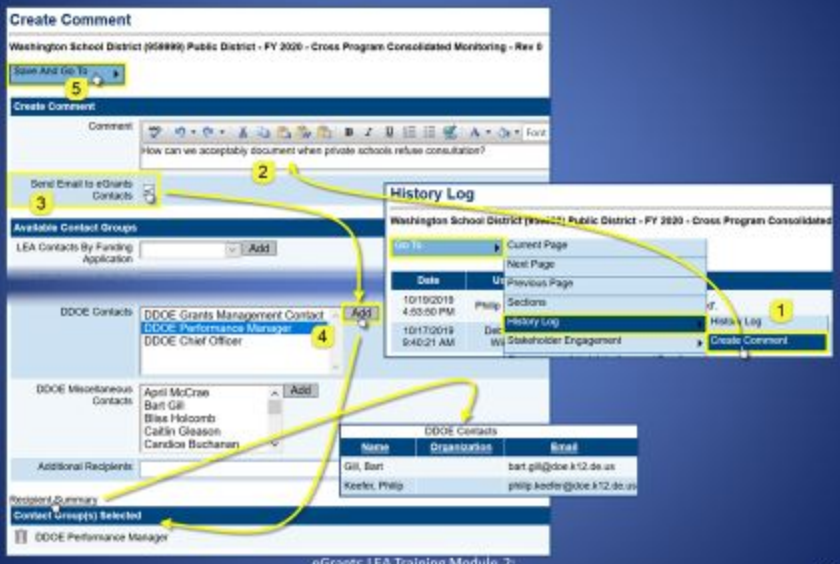
| Date | User | Status (S) / Comment (C) | S / C |
|---|---|---|---|
| 10/19/2019 4:53:50 PM | Philip Keefer | Status changed to 'Monitoring Closed'. | S |
| 10/17/2019 9:40:21 AM | Deborah Wicks | Status changed to 'LEA Results Review Started'. | S |
| 10/17/2019 9:40:18 AM | Christine Alois | Status changed to 'DDOE Deputy Secretary Reviewed'. | S |
| 10/17/2019 9:21:49 AM | Philip Keefer | Status changed to 'DDOE Program Manager Reviewed'. | S |
| 10/17/2019 9:21:44 AM | Charles Longfellow | Agreed to "By submitting this monitoring instrument and any associated required evidence or documentation, the local education agency acknowledges that the representation made in this monitoring accurately reflects the programs, personnel, data, and procedures of the district (and school[s] where applicable). All records necessary to ensure the correctness of the information provided by the agency will be kept five years beyond the final reporting date and access to such records will be provided to the state Department of Education upon request." | C |



# Comments

- Comments are ongoing notes and discussion between DDOE and the LEA related to a monitoring instrument
- Can be emailed to intended recipients to ensure that users see them without having to access their History Log in eGrants
- Comments are preferable to email discussions outside of the system because they are saved with the monitoring instrument to which they pertain

# Adding a Comment






# Monitoring Results

- LEA's are required to complete all monitoring questions and to upload all supporting documentation by June 1, 2020.
- No changes to questions or further document uploads can take place after June 1, 2020.
- Once DDOE has completed its review of the monitoring instrument, final results will be posted in the system and a final report will be issued toward the end of June.

# Monitoring Results
# Sample System Report

Monitoring Results - LEA Response

Go To:

Noteworthy Items

| Area | Description |
|---|---|
| Governance, Administration, and Funding >> Services to Homeless Children | Notify future financial records |

Promising Practices

| Practice | Description |
|---|---|
| Program Quality >> English Learners Program | Great job going above and beyond! |

Improvement Recommendations

| Area | Improvement Recommendation |
|---|---|
| Governance, Administration, and Funding >> Equitable Services to Private Schools | Clearly document this process. |

Findings of Non-Compliance

| Compliance Area | Description | Action Steps | Required Documentation | Documentation Approved | Deadline for Completion | Recurring Issue |
|---|---|---|---|---|---|---|
| Stakeholder Engagement >> Parent Notifications | Need to post report card on website. | Post report card data on your website. | Screenshot of Report Card Data posted on LEA web site.<br>No documentation has been uploaded. | | 11/27/2019 | |
| Stakeholder Engagement >> Family and Community Engagement Policies and Compacts | Parents must be involved in process. | Hold parent meeting. | Copy of sign-in sheet from parent meeting.<br>No documentation has been uploaded.<br>Copy of meeting minutes from parent meeting.<br>No documentation has been uploaded. | | 12/20/2019 | |

Requirements

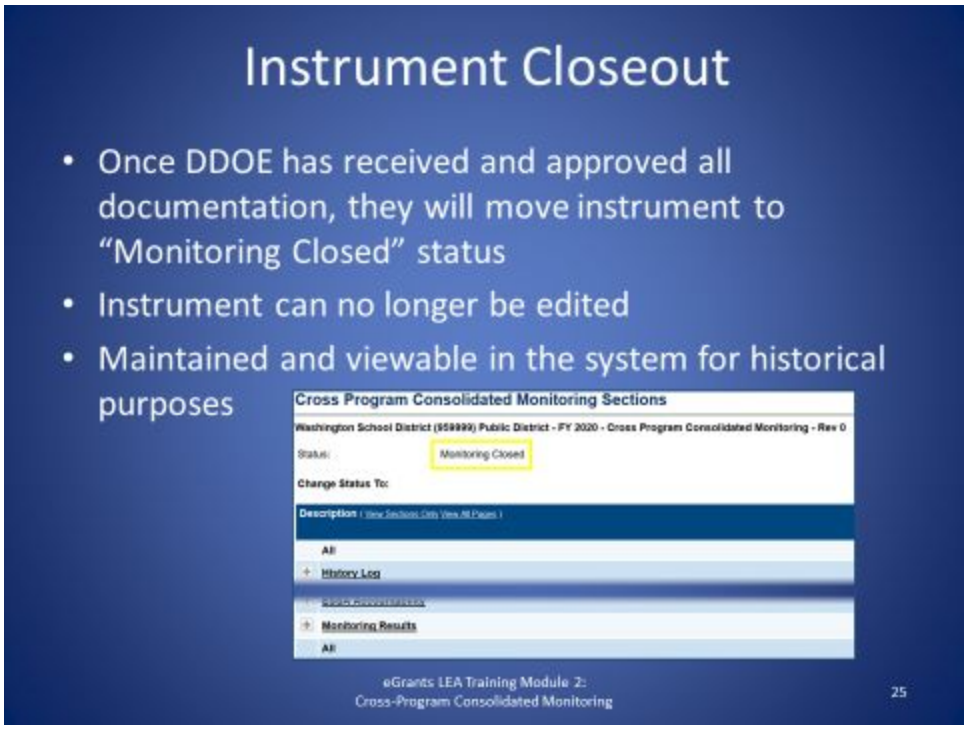
| Compliance Area | Description | Action Steps | Required Documentation | Documentation Approved | Deadline for Completion | Recurring Issue |
|---|---|---|---|---|---|---|
| Stakeholder Engagement >> Meaningful Consultation | Consult with private schools | Conduct private school consultation | Meeting minutes from Private school consultation<br>No documentation has been uploaded. | | 6/15/2020 | |



# Monitoring Result Types

At the end of the monitoring process, DDOE will provide LEAs with two types of feedback - Recommendations and Findings.

This feedback is intended to support LEAs in preparation for the following year's monitoring. DDOE's goal is to have 100% of LEAs to achieve "Meets Requirements" status each year.




## Cross Monitoring Schedule

**Cross Monitoring** is to occur ***every other year for all LEAs***, both Districts and Charter Schools. Those LEAs that are participating in the first year PILOT (2019-2020) will be exempt from the IMPLEMENTATION year (2020-2021) unless they are listed on the 5 Year Monitoring Cycle previously posted.

**Quarterly Suggested Completion** dates will be communicated through email and at the Federal Program Meetings/Webinars. The following items are suggested to be completed by the end of the month listed, if applicable:

| October | December 31 | March 6 | May 30 |
|---|---|---|---|
| Practice Numbers: 1, 2, 3, 4, 7, 8, 13, 14, 17, 18, 23, 26, 41, 42, 49 | Practice Numbers: 6, 10, 11, 12, 20, 21, 27, 28, 34, 43, 47 | Practice Numbers: 9, 19, 22, 24, 29, 35, 36, 44, 45, 46, 48 | Practice Numbers: 5, 15, 16, 25, 30, 31, 32, 33, 37, 38, 39, 40, 50, 51 |

The Final LEA Submission for the year will occur on July 1, 2020.

Note – The above dates and program rating rubric are flexible during the (2019-2020) pilot implementation year. The dates for September will need to be adjusted during the pilot year (2019-2020) since the monitoring tool training did not take place until October.

# Examples of Evidence

### Evidence Examples by Common Compliance Strand Subcategories

Examples are not all inclusive and should not be viewed as the only acceptable pieces of evidence.

| Subcategory | Practice | Example/Template |
|---|---|---|
| Parent Notifications | Complaint Procedure | Complaint Procedure Document |
| | Local Assessment | Locally Selected Assessment Letter |
| | Parental Rights | Teacher Qualifications Letter |
| | Teacher Licensure | Certification Requirements Letter |
| | Assessment Information | Assessment Information Letter |
| | Title I Meeting | Title I Meeting Invitation |
| | EL Parent Outreach | Outreach Documentation |
| LEA and School Plans | Title I Information | Parent Notification |
| | Schoolwide Plan | Schoolwide Plan |
| | Needs Assessment | Needs Assessment |
| | Stakeholder Consultation | Stakeholder Meeting Documentation |
| | Parent Notification | Parent Notification |
| Parent Involvement<br><br>Parent Involvement (Continued) | LEA FACE Policy | LEA FACE Policy |
| | Distribution | Distribution Evidence |
| | School FACE Policy | School Level FACE Policy |
| | Distribution | Distribution Evidence |
| | School Parent Compact | School Parent Compact |
| | Distribution | Distribution Evidence |
| Meaningful Consultation | Consultation | Consultation Evidence |
| | Private Schools | Confirmation of Consultation |
| Use of Federal Funds | Approved Expenditure | Budget Sample |
| | Title IV Expenditure | Budget Samples and TIV Spreadsheet |
| | Prioritize Schools | Student Data |
| | Prioritize Schools | Budget Sample |
| | Title I Carry Over | 15% Carryover Waiver |
| Equitable Services | Equitable Share | Budget Sample |
| | ES Calculations | Private School Funding Report |
| | ES Monitoring | Monitoring Procedures/Evidence |
| Homeless Services | Homeless Liaison | Professional Responsibilities Form |
| | Identification | Identification Forms |
| | Parent Notifications | Parent Letter |
| | Enrollment | Enrollment Process/Data |

| | | |
|---|---|---|
| | Dispute Resolution | Dispute Resolution Policy |
| Comparability | Comparability | Comparability Procedures Form |
| | Comparability Calculation | Comparability Calculation Form |
| General Fiscal | Employee Certifications | Semi-Annual/Monthly Report |
| | Property Inventory | Inventory Records |
| | Procurement | Formal Bidding Documentation |
| | Timely Expenditures | Budget Report |
| English Learners | Entrance Procedures | Home Language Survey |
| | Exit Procedures | ACCESS Reports |
| | EL Programs | Programming Report |
| | EL Parent Involvement | Community Engagement Documents |
| | EL Identification | Parent Letter |
| Professional Development | LEA Staff | Time and Effort Reports |
| | Teacher Participation | Sign In Sheets |
| | Evidence Based Research | Evidence Based Research |
| | Activities | Data Report |
| TIV Needs Assessment | TIV Needs Assessment | TIV Needs Assessment |
| ESSA General | LEA Plan Engagement | Parent Involvement Evidence |
| | Activity Effectiveness | Activity Evaluation |
| Equity Concerns | Minimize Discipline | Schoolwide Efforts/Practices |
| | Ineffective Teachers | School Data/Schoolwide Effort |
| Multi-Tiered Supports | MTSS | Intervention Data |
| | Middle to High Transition | Transition Documentation |
| CSI/TSI | Approved Plans | CSI/TSI Plan |
| | Implementation/Evaluation | Documentation |
| ESSERF | Timely Expenditures | Budget Report |

## On-Site Technical Assistance Visitations

DDOE will continue to provide technical assistance through visitation meetings according to the DDOE Monitoring Cycle. Please note that school districts are included on a five year cycle while charter schools are included on a three year cycle.

## Scheduling Visitations

DDOE will reach out to LEA's to schedule visitations at least four weeks in advance. Again, the focus of these visits will be to serve as a resource to assist LEAs in strengthening their understanding of best practices related to federal rules and regulations and to provide technical assistance.

## Visitations - Format and Purpose

DDOE staff will be focused on "How can we help you?" During the visitation, DDOE staff will review uploaded documentation relevant to grant expenditures or the specific Title Programs. LEAs are encouraged to evaluate the degree to which their own systems for grant management are consistent and aligned with statutory and regulatory requirements.

## Types of Evidence

This Monitoring toolkit identifies subcategory and practice areas, and the kinds of documents that demonstrate evidence of compliance.

## Visitation Follow Up

As soon as possible but no later than thirty days after the conclusion of the visitation, DDOE will send a written correspondence to the recipient. The correspondence will provide an overview of the visitation and additional technical assistance. DDOE staff will be available to provide targeted technical assistance as needed.

## Your Feedback is Greatly Valued

DDOE program staff look forward to working closely with LEA representatives in order to make implementation of the Monitoring Tool a great success. We will be learning together, asking and answering lots of questions, and engaging in quality dialogue. DDOE program staff want to be as timely and responsive as possible to any and all feedback/questions/issues that LEAs encounter. We welcome input and questions that pertain to any aspect of the Monitoring Tool, e-Grants, HMB, professional development sessions and/or any other aspect of implementation. Your input will be used to promptly address areas of need and will drive implementation and professional development efforts moving forward. LEA representatives are always welcome to call or email DDOE program staff. In addition, please feel free to report any issues/questions/feedback at any time on the Google Form located here https://tinyurl.com/y39r2nmf Please note that DDOE program staff will also send out online surveys to seek additional feedback on a quarterly basis.

## Legal References - Federal Monitoring

**34 C.F.R. §76.770**

**Each State shall have procedures for reviewing and approving applications for subgrants and amendments to those applications, for providing technical assistance, for evaluating projects, and for performing other administrative responsibilities the State has determined are necessary to ensure compliance with applicable statutes and regulations.**

**2 C.F.R. §200.331((b)(d)(e))**

**(b) Evaluate each subrecipient's risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward, which may include such factors as:**

**(1) The subrecipient's prior experience;**

**(2) The results of previous audits;**

**(3) Whether the subrecipient has new personnel; and**

**(4) The extent and results of Federal awarding agency monitoring.**

**(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, and regulations. Pass-through entity monitoring must include:**

**(1) Reviewing financial and performance reports.**

**(2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies.**

**(3) Issuing a management decision for audit findings pertaining to the Federal award.**

**(e) The following Monitoring tools *may* be useful for the pass-through entity to ensure proper accountability and compliance with program requirements:**

**(1) Providing training and technical assistance on program-related matters; and**

**(2) Performing on-site reviews of the subrecipient's program operations;**

**(3) Arranging for agreed-upon-procedures engagements as described in §200.425 Audit services and costs.**

## Contact Information, Technical Assistance, and Professional Development

For information, technical assistance, and professional development regarding eGRANTS and the Cross Monitoring system please contact: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