



Federal Programs

Title Programs Monitoring Manual



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State School Superintendent

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Georgia Department of Education
Title Programs On-Site Cross-Functional Monitoring Process

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Monitoring of Local Educational Agency (LEA)

Purpose of Monitoring and the Manual

Federal regulations and administrative procedures require that the state educational agency (SEA) monitor the implementation of program requirements and the expenditure of federal funds.

Monitoring of federal programs is conducted to ensure that all children have a fair, equal, and significant opportunity to obtain a high-quality education.

Monitoring emphasizes accountability for using resources wisely.

It serves as a vehicle for the Georgia Department of Education (Department) to help LEAs achieve high-quality implementation of educational programs.

Georgia Department of Education's (The Department's) monitoring process consists of eight major components:

1. **Program Requirements:** LEAs must submit for approval an annual Comprehensive LEA Improvement Plan (CLIP) through the consolidated application process. Title I Education Program Specialists review each CLIP to ensure that the plan addresses the identified area/s of need and contains allowable activities for use and budgeting of Title I, Part A monies. Once the CLIP has been approved, the LEA submits a budget reflecting the approved CLIP activities for review and approval by the Title I Education Program Specialist assigned to the LEA.
2. **Monitoring of Expenditures:** LEAs must submit an annual budget for approval through the consolidated application process. Title I Education Program Specialists review each application and budget to ensure that expenditures are appropriate for program-specific federal guidelines and 2 C.F.R. Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards guidelines before approving LEA budgets. A separate handbook, *Title I, Part A and Schoolwide Consolidation of Funds Budget Approval Process*, outlines the procedures for approving the expenditures. Once budgets are approved, Title I Education Program Specialists track funds drawn down by LEAs for expenditures to ensure that LEAs are likely to meet the draw-down of funds timelines for Title I funds.
3. **Single Audit:** An audit is a formal or official examination of records and accounts with the intention to verify that proper accounts have been utilized, proper procedures have been followed, and attending documentation has been maintained. If an auditor is unable to verify a program's accounts, procedures, and documentation, the LEA will be notified in writing, either by first class mail or by electronic mail, of an exception or audit finding(s). The Federal Programs

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Division will follow procedures as outlined in the Federal Programs Operations Manual for resolving any LEA audit findings through a single audit process.

4. **Physical Inventory Monitoring:** An on-site physical inventory monitoring visit of the central office and a select number Title I schools are scheduled and conducted by the Title I Educational Program Specialist responsible for the district. In addition to the inventory check the monitor reviews the inventory for compliance and reviews the written procedures for inventory management.

Districts are chosen for an on-site physical inventory monitoring based on the percentage of equipment purchased with Title I funds. The on-site physical inventory monitoring began in FY15 with four districts in each Title I service area with the high percentage of equipment purchased over the previous three years. Each year four additional districts will be chosen until all districts have received an on-site visit at which time the inventory monitoring will follow the same four-year cycle as on site Cross Functional Monitoring Team visit.

5. **Flexible Learning Program (FLP) Monitoring:** If an LEA offers an FLP program an on-site FLP monitoring takes place in the same year as the On-Site Cross Functional Monitoring Team visit. An on-site FLP monitoring visit is scheduled by the Educational Program Specialist responsible for the district. The on-site FLP monitoring visit consists of interviews with central and school level staff members and observation of FLP classroom/s.
6. **On-Site Monitoring:** An SEA On-Site Cross-Functional Monitoring Team visits an LEA to review the criteria included in the LEA monitoring document. LEAs are monitored, at least, on a four-year cycle. Approximately one-fourth of the LEAs are monitored on-site each year. As part of the process for determining which LEAs are to be monitored, the Federal Programs Division conducts a risk assessment using a combination of elements as defined by the Title Programs Division and the Department's Finance and Business Office (FBO). Consequently, LEAs with audit or monitoring findings requiring a return of monies or a high number of complaints from parents or other stakeholders are monitored within a year of the LEA audit or monitoring report and written complaint.

The Title I portion of the on-site Cross-Functional Monitoring Team visit consists of two sections: monitoring for compliance and results based monitoring. The monitoring for compliance portion of the visit is a review of documents that are either uploaded prior to the visit for review or provided in folders at the time of the visit. The results based monitoring includes individual interviews with the district level staff and preselected Title I school staff. The monitors will use a set of prescribed questions regarding the process that the district utilizes to design its Title I program based on achievement data. At a minimum the Superintendent and Title I Director will be interviewed at the district level and the principal and a staff member, either a teacher or academic coach, at the school level. The

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interview process should take approximately 15-20 minutes per person interviewed.

Prior to the Cross-Functional Monitoring team visit, LEAs monitored during this cycle have an additional on-site visit for an evaluation monitoring for LEAs offering a Flexible Learning Program. The Education Program Specialist will conduct the inventory and FLP monitoring.

Depending on the implementation of the programs at the LEA, the following federal programs may be included on the On-Site Cross-Functional Monitoring Team visit:

- Title I, Part A – Improving the Academic Achievement of the Disadvantaged
- Title I, Part A - Parent and Family Engagement
- Title I, Part A – Academic Achievement Awards, including Title I, Part A Reward Schools Award; Title I, Part A Reward District Award; and National Title I Distinguished School Award
- Title I, Part A – ESEA Flexibility Waiver – Flexible Learning Program (FLP)
- Title I Part A – School Improvement Grants – State Reservations – 1003(a)
- Title I, Part A – School Improvement Grants – Assistance for School Improvement – 1003(g)
- Title I, Part D – Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk
- Title I, Part C – Education of Migratory Children
- Title II, Part A – Preparing, Training, and Recruiting High-Quality Teachers and Principals
- Title III, Part A – Language Instruction Limited English-Proficient (LEP) and Immigrant Students
- Title X, Part C – McKinney-Vento Homeless Education Assistance for Children and Youth
- Title VI, Part B – Small, Rural Education Achievement Program (REAP)
- IDEA - The Individuals with Disabilities Education Act

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The results of the Cross-Functional Monitoring Team visit are reported within the online portal system at the Department. Each of the federal programs included in this monitoring process has its own corridor within the e-monitoring reporting site. The Title I Education Program Specialist serves as an overall Team Lead for the Cross-Functional Monitoring Team. A detailed description of the overall Team Lead's responsibilities is outlined in this manual. Each federal program that has someone assigned to the team will have a person that is designated as the program Team Lead. The program Team Lead is responsible for entering the data and writing the finding and required corrective actions for the specific program as needed. If there is a federal program that is applicable to the LEA and no one is present the day of the monitoring, the program will have a desktop monitoring where the documents to be reviewed are uploaded for review. A detail description of this process is provided later in the manual.

7. **Self-Monitoring Checklist:** The self-monitoring process is an outgrowth of the on-site monitoring process. It is designed to provide LEAs the support and guidance needed to maintain ongoing high standards for compliance and program delivery by conducting a self-monitoring of compliance with federal law for each fiscal year that the local educational agency (LEA) does not participate in the Title Programs Division on-site monitoring process. LEAs not receiving an on-site visit complete and submit the Self-Monitoring Checklist within the e-monitoring portal.

8. **Desktop Monitoring of Approved LEA Budgets:** Once a Title I Education Program Specialist has approved an LEAs budget, those budgets are reviewed one more time by the Title I, Part A Program Manager and Title Programs Director. At this time, LEAs may be asked to provide further clarification of expenditures.

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The purpose of this manual is to provide an overview of the eight major monitoring components, procedures for determining the monitoring cycle for LEAs, and protocols for on-site visits for physical inventory monitoring, Flexible Learning Program monitoring and Cross-Functional monitoring visits.

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Selection of Local Educational Agencies (LEAs) for Monitoring

During the fall of each year, the Department Title Programs Division completes a risk assessment to determine if an LEA falls into the high-risk category. The results of the risk assessment determine which districts may be added to the regular four year cycle.

The state educational agency (SEA) has the responsibility of monitoring high-risk LEAs. The Department Title Programs Division defines high-risk as:

- LEAs showing evidence of serious or chronic compliance problems.
- LEAs with financial monitoring/audit findings.
- LEAs with a high number of complaints from parents and other stakeholders about program implementation.

Other elements that may cause an LEA to be determined as high-risk include:

- LEAs receiving a Title I allocation in the top 25-percent of LEAs receiving the greater portion of Title I funding in any given fiscal year.
- LEAs having new management personnel not familiar with program implementation and federal guidelines, for example, a new superintendent, Title I Director, and/or finance officer.
- LEAs having directors/coordinators not attending Department technical assistance training sessions.

High-risk does not necessarily mean that an LEA is not performing the requirements of the program, federal regulations, or administrative procedures. It **does** mean that an LEA may be at a higher risk of having program elements that could cause an LEA not to perform the activities associated with the federal rules, regulations, and administrative procedures in a manner that keeps the LEA in compliance.

The Title Programs/Outreach Programs Division conducts a risk assessment for the following programs:

- Title I, Part A – Improving the Academic Achievement of the Disadvantaged
- Title I, Part C – Education of Migratory Children
- Title VI, Part B – Small, Rural Education Achievement Programs (REAP)
- Title X, Part C – McKinney-Vento Homeless Education Assistance for Children and Youth

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Local Educational Agency’s Risk Assessment

Determining a Rating

The Title Programs Division uses the following High-Risk Intervention Elements to determine each LEA’s score. Those LEAs with a score between 0 to 18 points would be determined to be a low risk. Those LEAs with a score of 19 to 100 points would be determined to be a medium risk. Those LEAs with a score greater than 100 points would be determined to be a high risk. The goal for an LEA would be to have a low-risk rating score. Intervention Risk Assessment Strategies have been determined for each risk rating group.

High-Risk Intervention Elements

Elements	Point Values
New Superintendent (12 months or less at current LEA)	5 points = New Superintendent 0 points = No new Superintendent
New Title I Director (2 years or less experience)	5 points = New Title Director 0 points = No new Title I Director
New Finance Officer	5 points = New Finance Officer 0 points = No new Finance Officer
Title I Director attends Title Programs previous year’s sponsored workshops and technical assistance on program and compliance requirements	10 points = Attended 0 Sessions 3 points = Attended 50% of Sessions 0 points = Attends All Sessions Training and Technical Assistance include: <ul style="list-style-type: none"> • New Director’s Workshop • Title I Statewide Conference • Comprehensive LEA Implementation Plan (CLIP) Workshop • Title I, Part A Consolidated Application Training • Title I, Part A Budget Approval Workshop • Title I, Part A Cross-Functional Monitoring Training • Regional Sessions and other program-requirement workshops offered throughout the year.

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Elements	Point Values
Top 25% of LEAs receiving the greatest portion of Title I funding	All LEAs are ranked in order of funding and then divided into four tiers 10 points = LEA in top 25 percent, 1st tier 5 points = LEA in 2nd tier (26– 50%) 0 points = LEA in 3rd or 4th tier (51–100%)
Having 1 or more audit fiscal irregularities within the past 2 years (24 months)	10 points = LEA has 1 or more findings with a return of funds 2 points = LEA has 1 or more findings with no return of funds 0 points = LEA has no audit findings
Having 1 or more Title Programs Cross-Functional Monitoring finding(s) in previous year	10 points = LEA has 1 or more findings with return of funds, including a request for reclassification of funds 5 points = LEA has 3 or more findings with no return of funds 3 points = LEA has less than 3 findings with no return of funds 0 points = No findings
Current fiscal year program complaints	6 points = Compliant resulting in corrective action involving funds 3 points = Program complaints resulting in corrective action not involving funds 0 points = No complaints
Having a budget that does not match the expenditure report	6 points = Having a finding of more than a 5% variance and funds are required to be returned 3 points = Having a finding of more than a 5% variance, but funds are not required to be returned 0 points = Having less than a 5% variance
Requested a carryover waiver within the last 3 years	6 points = Yes, requested a carryover waiver within the last 3 years 0 points = No waiver request
Title I funds were returned with the past 2 years due to less than 85% expenditure of Title I funds in the required time allotment	7 points = Having to return funds to Department for redistribution 0 points = No funds returned

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Elements	Point Values
Number of private schools served by LEA	10 points = Serving more than 9 private schools 5 points = Serving 5 to 9 private schools 2 points = Serving 1 to 4 private schools 0 points = Serving no private schools
Schools in Priority or Focus status within the LEA	10 points = Having Priority School(s) 7 points = Having Focus School(s) 0 points = Having no schools identified as Priority or Focus
LEA is identified for District Effectiveness	10 points = Yes 0 points = No

Financial Review risk ratings are determined by the Department’s Financial Review Department and are submitted to the Title Programs Division. Final calculations are based on a combination of the federal programs risk rating and the Financial Review risk rating. The Title Programs total risk score counts one-third of the total scores, with the Financial Review rating score counting two-thirds.

Those LEAs with a final risk score between 1 and 18 points are considered to be low risk. LEAs with a final risk score between 19 and 100 points are at medium risk. LEAs with a final risk score greater than 100 are at high risk.

LEAs receiving points in the following categories are **automatically** monitored, regardless of the LEA’s final risk score:

- LEAs with one or more fiscal irregularities within the past 24 months, resulting in a return of funds
- LEAs with more than five cross-functional monitoring findings in the previous year
- LEAs with current fiscal-year program complaints
- LEAs with a budget that does not match the expenditure report
- LEAs with Title I funds returned within past two years due to less than 85-percent expenditure of Title I funds in the required time allotment

Once an LEA’s risk is assessed, education program specialists must monitor the LEA based on the risk strategies listed below:

- High Risk

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- The LEA will be monitored each year by the Title Programs Cross-Functional Monitoring Team. In addition, the LEA will receive an on-site technical assistant visit from an appropriate education program specialist.
- Medium Risk
 - The LEA will be monitored once every three to four years by the Title Programs Cross-Functional Monitoring Team. In the interim two to three years, the LEA must conduct a self-assessment in collaboration with the Title I Education Program Specialist during an on-site technical visit. The LEA must complete and submit the online Title Programs Self-Monitoring Document.
- Low Risk
 - The LEA will be monitored once every three to four years by the Title Programs Cross-Functional Monitoring Team. In the interim two to three years, the LEA must conduct a self-assessment. The LEA must complete and submit the online Title Programs Self-Monitoring Document.

Physical Inventory Monitoring

Districts are chosen for an on-site physical inventory monitoring based on the percentage of equipment purchased with Title I funds. The on-site physical inventory monitoring began in FY15 with four districts in each Title I service area with the high percentage of equipment purchased over the previous three years. Each year four additional districts will be chosen until all districts have received an on-site visit.

The on-site physical inventory monitoring visit of the central office and a select number Title I schools is scheduled and conducted by the Title I Educational Program Specialist responsible for the district. The number of schools selected for monitoring is based on the size of the district. For example in a district with only one school per grade span the monitor may choose to check each school. In a large district the monitor may select one or two schools per grade span. It is important to get a sampling of the Title I schools in the district that would include different grade spans, private schools and/or neglected and delinquent schools. In addition to the inventory check the monitor reviews inventories for compliance and written procedures for inventory management.

Physical Inventory Monitoring Document

At the beginning of each fiscal year, the monitoring document is reviewed and revised by each federal program included on the team. The purpose of the review is to not only ensure that all the components from the U.S. Department of Education's (US ED)

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monitoring document are included, but also to ensure that the document clearly states the documentation that must be on file to ensure compliance with the indicators.

The most recent monitoring document can be found on the Georgia Department of Education (Department) Web site.

Selection of Date for Monitoring

Each Title I Education Program Specialist is responsible to scheduling dates for physical inventory monitoring visits. The Title I Education Program Specialist will contact the Title I director for each district in his/her area being monitored to schedule a date. Attempts are made to schedule physical inventory monitoring in the fall prior to the Cross Functional Monitoring Team visits, which begins in January each year.

The following areas are taken into consideration when scheduling the actual date of the visit:

- **Department Staff meetings:** Monitoring visits are not scheduled on the same days as the monthly Title I staff meetings.
- **LEA Calendar:** Each LEA's calendar is reviewed to determine dates in which the LEA is not in session. Monitoring visits are not scheduled on these days.
- **Completion:** Whenever possible, time is allowed in the schedule for completion of monitoring reports between scheduled visits.

LEA Notification

The Title I Education Program Specialist will send an email notification to each Title I director with the following information:

- Purpose of visit
 - Date and time of visit
 - Confirmation deadline
 - Copy of Inventory Monitoring Document
 - List of schools in which physical inventory check will be conducted.
 - Date in which central office and school inventories are to be sent electronically to the Title I Education Program Specialist.

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- Directions for the day of monitoring to include having someone to accompany the monitor on the school visits and a person designated as a contact person for each school.
- Title I Education Program Specialist's contact information.

Preparation for On-Site Visit

LEA's Preparation for On-Site Visit

The LEA compiles all information as requested on the current year's cross-functional monitoring document that relates to the inventory and inventory monitoring document. The Georgia Department of Education (Department) provides several opportunities for technical assistance on setting up files for an on-site inventory monitoring visit.

These opportunities include:

- Sessions at the Title I, Part A annual Federal Programs Conference
- State-level monitoring training meeting
- Regional technical assistance monitoring meeting
- Individual assistance by the Department's Title I Education Program Specialist, as requested

The LEA should conduct on-site inventory checks to assure that all equipment is accounted for before a visit.

The LEA will provide the Title I Education Program Specialist with electronic copies of the inventory sheets for the central office and selected schools.

Department's Preparation for On-Site Visit

In preparation for the visit the Title I Education Program Specialist will:

- Randomly select items to be checked from the inventories provided by the LEA.
- Review the current and previous year's budgets to determine what equipment was said to be purchased.
- Prepare documents for the visit:
 - Print a copy of the randomly selected items to be check for each facility
 - Complete and print a copy of the on-site inventory monitoring document.

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On-Site Visit

Monitor Protocols

- Team members are not to ask the district to secure lunch or hotel rooms for them.
- Upon arrival, meet with LEA staff to review the following monitoring procedures/processes:
 - Provide introductions.
 - Explain purpose of monitoring visit.
- Explain the process of the visit to the LEA:
 - Explain that there will be no exit conference or interview, as the final decision will not have been made regarding the findings until all documents have been reviewed and approved by the each program manager and director.
 - The LEA will receive a report of the visit.
 - If findings occur, the LEA will submit a corrective action for each finding.

Monitoring Visit Feedback

The monitor will compile the information gathered from the on-site visit and complete the inventory monitoring document. The information used to prepare a summary report that will be placed in a designated folder on the U drive. The summary report should be labeled with districts' name first. The Title I Program Manager and Program Director will review the summary report and a letter will be mailed to LEA. The report will include general observations, possible recommendations and corrective action if applicable.

Flexible Learning Program Monitoring

LEAs are monitored on a four year cycle for an on-site Cross-Functional Monitoring Team visit. Approximately one-fourth of the LEAs are monitoring on-site each year. As part of the process in determining which LEAs are to be monitored, the Federal Programs Division conducts a risk assessment using a combination of elements defined by the Department. An LEA's risk-assessment rating is determined by using both its risk rating, based on the High-Risk Intervention Elements developed by the Title Programs Division, and a rating from the Department's Financial Review Department. Refer to the Risk Assessment section within the manual for further details.

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The on-site Flexible Learning Program (FLP) monitoring for a district follows the same four year cycle. The FLP monitoring is designed to gain results based information from the LEA. The visit of the central office and a select number Title I schools offering an FLP program is scheduled and conducted by the Title I Educational Program Specialist responsible for the district. The number of schools selected for monitoring is based on the size of the district and the number of FLPs. For example, in a district with only one or two FLP schools the monitor may choose to check each school. In a large district the monitor may select two or more FLP schools. It is important to get a sampling of the Title I schools in the district that are offering FLPs.

The results based monitoring includes an individual interview with the superintendent, the Title I director, principal of the FLP school/s monitored and a FLP teacher for each school monitored. The interview process should take approximately 15-20 minutes per person interviewed. The monitoring visit also includes an approximately 20-30 minutes classroom observation at each school monitored.

Selection of Date for Monitoring

Each Title I Education Program Specialist is responsible to scheduling dates for the FLP monitoring visits once the list of LEAs being monitored for the current year has been established. The Title I Education Program Specialist will contact the Title I director for each district in his/her area being monitored to schedule a date. Attempts are made to schedule FLP monitoring in late fall and prior to the Cross Functional Monitoring Team visits, which begins in January each year.

The following areas are taken into consideration when scheduling the actual date of the visit:

- **Department Staff meetings:** Monitoring visits are not scheduled on the same days as the monthly Title I staff meetings.
- **LEA Calendar:** Each LEA's calendar is reviewed to determine dates in which the LEA is not in session. Monitoring visits are not scheduled on these days.
- **Completion:** Whenever possible, time is allowed in the schedule for completion of monitoring reports.

LEA Notification

The Title I Education Program Specialist will send an email notification to each Title I director with the following information:

- Purpose of visit.
- Date and time of visit.

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- Confirmation deadline.
- List of school/s that will be monitored.
- Request for a coordination of location and schedule of interviews and observation. The location and schedules will be dependent upon the time in which the FLP is being offered.
- Directions for the day of monitoring to include having someone to accompany the monitor on the school visits.
- Title I Education Program Specialist's contact information.

Preparation for On-Site Visit

LEA's Preparation for On-Site Visit

The LEA compiles all information as requested on the current year's cross-functional monitoring document that relates to the FLP and FLP monitoring document. The Georgia Department of Education (Department) provides several opportunities for technical assistance on setting up files for an on-site FLP monitoring visit.

These opportunities include:

- Sessions at the Title I, Part A annual Federal Programs Conference
- State-level monitoring training meeting
- Regional technical assistance monitoring meeting
- Individual assistance by the Department's Title I Education Program Specialist, as requested

The LEA should ensure that the FLP/s are being implemented in accordance of approved plans.

Department's Preparation for On-Site Visit

In preparation for the visit the Title I Education Program Specialist will:

- Review the approved FLP plans for the schools being monitored.
- Review CCPRI information for the schools being monitored.
- Prepare documents for the visit:
 - Print a copy of the FLP plan for the schools being monitored

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- Complete and print copies of the interview documents needed for the day of monitoring.
- Print copies of the observation checklist for each classroom observation being conducted.

On-Site Visit

Monitor Protocols

- Team members are not to ask the district to secure lunch or hotel rooms for them.
- Upon arrival, meet with LEA staff to review the following monitoring procedures/processes:
 - Provide introductions
 - Explain that the purpose of monitoring visit is to gain insight of the implementation and effectiveness of the FLP.
- Explain the process of the visit to the LEA:
 - Explain that there will be no exit conference or interview.
 - The LEA will receive a report of the visit.

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Monitoring Visit Feedback

The monitor will compile the information gathered from the on-site visit to include recorded interview answers and classroom observation/s. The information used to prepare a summary report that will be placed in a designated folder on the U drive. The summary report should be labeled with districts' name first. The Title I Program Manager and Program Director will review the summary report and a letter will be mailed to LEA.

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Cross-Function Monitoring Team Visit

Cross-Functional Monitoring Document

At the beginning of each fiscal year, the monitoring document is reviewed and revised by each federal program included on the team. The purpose of the review is to not only ensure that all the components from the U.S. Department of Education's (US ED) monitoring document are included, but also to ensure that the document clearly states the documentation that must be on file to ensure compliance with the indicators.

The most recent monitoring document can be found on the Georgia Department of Education (Department) Web site.

On-Site Cross-Functional Monitoring Team

Federal Programs

The following programs may have members on the team:

- Title I, Part A – Improving the Academic Achievement of the Disadvantaged
- Title I, Part A – Parent and Family Engagement
- Title I, Part A – Academic Achievement Awards, including Title I, Part A Reward Schools Award; Title I, Part A Reward District Award; and National Title I Distinguished School Award
- Title I, Part A – ESEA Flexibility Waiver, Flexible Learning Program (FLP)
- Title I Part A – School Improvement Grants – State Reservations – 1003(a)
- Title I, Part A – School Improvement Grants – Assistance for School Improvement – 1003(g)
- Title I, Part D – Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk
- Title I, Part C – Education of Migratory Children
- Title II, Part A – Preparing, Training, and Recruiting High-Quality Teachers and Principals

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- Title III, Part A – Language Instruction Limited English-Proficient (LEP) and Immigrant Students
- Title X, Part C – McKinney-Vento Homeless Education Assistance for Children and Youth
- Title VI, Part B – Small, Rural Education Achievement Program (REAP)
- IDEA - The Individuals with Disabilities Education Act

Development of Cross-Functional Monitoring Teams

The Title I, Part A Program Manager for the Department's Title Programs Division compiles a list of LEAs to be monitored based on the risk assessment and the LEAs whose cycle it is to be monitored. The final list of LEAs is divided equally among the Title I Education Program Specialists based on location, with a Team Lead assigned based on proximity of regional office. Each Title I Education Program Specialist is then paired with another group as a team member. Title I Education Program Specialists do not monitor districts where they are assigned to provide technical assistance as the program specialist. Consideration is also given to the size of the LEAs to balance the number of large and small districts a team may monitor.

Each On-Site Cross-Functional Monitoring Team consists of several team members. The specific make-up of the team is determined by the programs being implemented at the LEA. Each team consists of two Title I Education Program Specialists, one serving as the Team Lead, and other team members assigned as determined by need. The number of team members could range from two to twelve members.

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Training Prior to On-Site Monitoring

Department Training

Once the monitoring document is revised, the Department staff is provided training on the new document. The training includes:

- Page-by-page review of the indicators, requirements, and documentation on file at the Department and at the LEA
- Review of the monitoring protocols

General Protocol for Team Member

- Secure his/her own hotel reservations. This is not a responsibility of the Team Lead nor is it the responsibility of the district being monitored.
- Ensure that program-specific data is provided to the Team Lead on the first day of monitoring or delivered to the Team Lead in the absence of the program expert.
- If a team member is unable to attend, he/she must notify the Team Lead in advance, who will contact the Title Programs Director. The Title Programs Director will notify the appropriate program manager for a replacement.
- Be on time. Notify the Team Lead if arriving late.
- Be professionally dressed and courteous.
- Be prepared. Bring own laptop to the monitoring site.
- Stay on task during monitoring visit.
- Work quietly as not to disturb other team members from reviewing the documentation.
- Actively participate throughout the entire monitoring process for that district.
- Complete all sections, including the documents reviewed, of the monitoring instrument as assigned.
- Ensure that documentation supporting any possible findings is scanned and/or copied. The supporting documentation will be attached to the On-Site Review section of the monitoring report.

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- Communicate to the Team Lead information related to findings as soon as the possible finding is recognized.
- Each team member is responsible for completing the finding/recommendation, including appropriate citation/s, within the portal. The team member must submit the required corrective action information to the Team Lead so that he/she can accurately include the corrective action in the portal.
- Ensure that the finding/recommendation and required corrective action information has been spell-checked and is in proper grammar.

General Monitoring Visit Protocols:

- Unless otherwise specified by the Team Lead, all monitoring visits will begin at 9:00 a.m. Team members must be on site no later than 8:45 a.m.
- All team members are expected to be present for each day of the on-site monitoring.
- District staff is not to be present in the room during the monitoring visit; however, the district staff should be accessible should the team need additional information. The Team Lead will make any additional contacts with the district staff.
- Only Department team members are to be present in the monitoring room; any other Department personnel or non-Department personnel who wish to be present during the monitoring must be cleared by the appropriate program manager with final approval by the Title Programs Director prior to the monitoring visit.
- No exit conference or interview will be conducted by Department team members for any program involved in the cross-functional team monitoring.

General Protocol for Team Lead

- Prior to Monitoring:
 - Coordinate LEA monitoring date with Department team members.
 - Notify LEAs of monitoring date, including details of the monitoring visit.
 - Gather profile information on LEA for Department team members.
 - Two weeks prior to visit, contact LEA to reconfirm visit and location.

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- Assign and alert each team member as to which monitoring indicators that team member will be responsible for reviewing during the on-site visit.
- Create folders with appropriate information for each team member; for example, copies of approved budget, checklists, audit reports, LEA profile sheets, etc.
- One week prior to visit, email each team member with reminder of monitoring date, address location, starting time, and pertinent information available for the on-site visit.
- Create an agenda and sign-in sheet for the on-site visit.
- **During On-Site Visit:**
 - Upon arrival, meet with LEA staff to review the monitoring protocol.
 - Serve as contact person with any district staff if additional information is needed.
 - Review team-member protocols.
 - Provide team members with a folder of assignments and/or documents that are needed for their assigned areas (e.g., approved budgets, monitoring document sections for team members to use to list documentation reviewed, and profile summary information).
 - Discuss how the team would prefer to handle the lunch break. The team will usually break for lunch around 12:00 p.m. for one hour. The team may decide to have a working lunch.
 - Facilitate the debriefing of the monitoring visit and for reaching consensus on findings and recommendations.
 - Notify the district when the monitoring is complete for the day and/or when the monitoring visit has ended.
- **Contact the Title Programs Director during the monitoring for the following conditions:**
 - If an LEA is unprepared for monitoring, the Team Lead must contact the Title Programs Director to determine if another date should be scheduled.
 - If it is deemed necessary based on the monitoring findings, the Team Lead must contact the Title Programs Director to issue a cease-and-desist statement to the district.

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- The Team Lead must contact the Title Programs Director if team members are not professionally dressed or courteous.
- Notify the district when the monitoring is complete for the day and/or when the monitoring visit has ended.

LEA Training

Once the LEAs to be monitored for the current year have been identified, each LEA's superintendent is notified and provided with the current year's monitoring document.

The LEAs are notified that **two** state-level training meetings, one in the northern part of the state and one in the southern part of the state, are scheduled. The agenda for these meetings includes: (1) purpose of monitoring; (2) Georgia Department of Education (Department) monitoring process; (3) local educational agency (LEA) preparation for monitoring; (4) overview of the current fiscal year's monitoring form; (5) review of descriptors and required documentation; and (6) a question-and-answer period. This training is made available to all LEA staff members who will be involved in the On-Site Cross-Functional Monitoring Team visit.

The purpose of the sessions is to provide tips to LEAs on how to successfully implement an ongoing process of monitoring for the Title I within their district, whether it is in preparation for an on-site visit or self-monitoring.

Other opportunities available to all LEAs concerning the monitoring process include presentations at the annual Georgia Compensatory Educational Leaders (GCEL) conference, and the annual Federal Programs Conference.

Prior to the monitoring date, Title I, Part A small group and/or individual technical assistance meetings can be scheduled by individual program specialists throughout the state to provide support and assistance in preparation for an on-site monitoring. On-site visits are scheduled as requested by the LEA; however, on-site technical assistance cannot be provided within two weeks of the Cross-Functional Monitoring Team visit.

Georgia Department of Title I Education Program Specialists are always available via phone and email to answer any questions an LEA may have concerning preparation for its on-site visit.

Selection of Date for Monitoring

Each Team Lead is responsible for scheduling the dates for the Cross-Functional Monitoring Team visit. The following areas are taken into consideration when scheduling the actual date of the visit:

- **Department Staff meetings:** Monitoring visits are not scheduled on the same days as the monthly Title I staff meetings.

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- **LEA Calendar:** Each LEA's calendar is reviewed to determine dates in which the LEA is not in session. Monitoring visits are not scheduled on these days.
- **Proximity of LEAs for efficiency and travel:** The Team Lead will schedule a monitoring visit for two to three LEAs together that are in close proximity.
- **Completion:** Whenever possible, time is allowed in the schedule for completion of monitoring reports.

Taking all the above items into consideration, the Team Lead and the other education program specialists assigned to the team will compare their dates and reach a consensus on the tentative dates for monitoring.

LEA Notification

After the tentative monitoring dates are set, each Team Lead is responsible for the notification of the monitoring visit. The Team Lead is responsible for gathering contact information for each LEA, including names of superintendent and Title I director, physical address, phone numbers, and email addresses.

An email notification, sent to each Title I director, contains the following information:

- Purpose of visit
- Date and time of visit
- Confirmation deadline
- Copy of monitoring document
- Team Lead contact information

A sample email notification is found in Appendix A.

Other Team Member Assignments

Once confirmation is received from all LEAs, monitoring dates are placed on a form that all team members and Title I, Part A Program Manager can access. The form is located on the "U" drive in the Title I, Part A Program Manager's folder for the current year of monitoring. This form includes contact information for each federal program included in the Cross-Functional Monitoring team.

The Title I, Part A Program Manager informs each federal program involved in the cross-functional monitoring visit that the dates are set. Each federal program manager involved will then make team member assignments.

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Preparation for On-Site Visit

Team Lead Preparation

The Title I Education Program Specialist serves as an overall Team Lead for the Cross-Functional Monitoring Team. If there is a federal program that is applicable to the LEA and no one is present the day of the monitoring the program will have a desktop monitoring. Documents to be reviewed will be uploaded prior to the visit for review. The Team Lead responsibilities are outlined below.

- Gather LEA Profile Information. (A sample form that may be used to compile the information below is included in Appendix B.)

The Team Lead will gather pertinent information prior to the visit so that the monitoring team will have an accurate picture of the current status of the LEA. The information is shared with the team members, either prior to the visit or on the day of the on-site visit. The information includes:

- Accountability status of each LEA
- Accountability status of each school: Reward, Priority or Focus
- List of Schoolwide Program schools
- List of Targeted Assistance Program schools
- List of new Schoolwide schools
- List of non-Title I schools
- Whether or not the LEA has:
 - Required a Flexible Learning Program(s) plan; if so, which school(s)?
 - Required a District Effectiveness Memorandum of Understanding.
 - Hired non-highly qualified teachers and/or paraprofessionals.
 - Received School Improvement Funds 1003(a); if so, which schools?
 - Received School Improvement Funds 1003(g); if so, which schools?
 - Received audit findings within the past two years; if so, what were the findings?

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- Received previous on-site monitoring findings; if so, what were the findings?
- Met Maintenance of Effort (MOE); if not, did the LEA receive a waiver, or was there a reduction in funds?
- Required a Waiver Request for Carryover over 15 percent for Title I, Part A.
- Received N/D funds as a set-aside; if so, indicate the amount.
- Allocated Title I, Part A monies to N/D facilities operating as a school; if so, list schools.
- Operated N/D facilities as a program; if so, list the program.
- Allocated Title I, Part A monies to charter schools within the LEA; if so, list the schools.
- Rezoned or opened new schools; if so, explain.
- Allocated Title I, Part A monies to schools above 75-percent poverty.
- Served schools below 35-percent poverty.
- Required to meet eligible equitable private school participation regulations; if so, which schools?
- Required to meet comparability; if so, was it met?
- Received Reward District designation.
- Received Reward Schools designation; if so, which schools?
- Received a National Distinguished Schools designation; if so, which schools?
- Received an allocation from the following programs:
 - ✓ Title I, Part D – Neglected and Delinquent
 - ✓ Title I, Part C – Migrant
 - ✓ Title II, Part A – Teacher Quality
 - ✓ Title III, Part A – Language Instruction for LEP and Immigrant Students

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✓ Title VI, Part B – Rural Education Achievement Program

- Consolidated funds (Schoolwide); if so, which federal programs are consolidated?
- Schedule the individual district and school level interviews as part of the results based monitoring.

Reconfirmation of On-site Visit

Two weeks prior to visit, the Team Lead should contact LEA to reconfirm its visit and remind the LEA of the members of the team. (See Appendix C)

The Team Lead, for each program, will assign appropriate sections of the monitoring documents to each team member. Each team member is asked to review the consolidated application and other pertinent information regarding the LEA prior to the monitoring visit.

Reminder Email to Team Members

Approximately one week prior to the scheduled visit, the Team Lead will email all team members to remind them of the date, physical address, and room location of the visit. Unless otherwise specified by the Team Lead, all monitoring begins at 9:00 a.m. However, team members must be on site no later than 8:45 a.m. The Team Lead will also include the section assignments and profile information for the LEA. A sample email is included in Appendix E.

Agenda and Sign-In Sheet

The Team Lead will develop an agenda for the on-site visit that provides information for the monitoring visit. In addition, the Team Lead is responsible for preparing a sign-in sheet for all Department staff and LEA staff who are present at the on-site visit. A sample detailed agenda and sign-in sheet is included in Appendix F.

Folder for Each Team Member

The Team Lead will develop a folder for each team member with pertinent information related to the on-site visit, including, but not limited to:

- List of assignments for monitoring
- Profile information on LEA
- Copies of approved budget, as appropriate for the team member
- Description of responsibilities for team members' written responses and protocol

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LEA's Preparation for Monitoring

The LEA compiles all information as requested on the current year's monitoring document. The Georgia Department of Education (Department) provides several opportunities for technical assistance on setting up files for an on-site monitoring visit.

These opportunities include:

- Sessions at the Title I, Part A annual Federal Programs Conference
- State-level monitoring training meeting
- Regional technical assistance monitoring meeting
- Individual assistance by the Department's education program specialist, as requested

On-Site Cross-Functional Monitoring Visit

Team Members' Protocols

- All team members are expected to be present for each day of the on-site monitoring.
- All team members are expected to be present for the entire monitoring for the district being monitored. If a team member completes their assigned task, then the Team Lead will ask that team member to assist in areas still needing documentation reviewed.
- Business attire is expected.
- Team members are not to ask the district to secure lunch or hotel rooms for them.

Team Lead Responsibilities and Protocols

- Upon arrival, meet with LEA staff to review the following monitoring procedures/processes:
 - Provide introductions
 - Explain purpose of monitoring
 - Explain ways in which LEAs are monitored
- Explain the process of the visit to the LEA:

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- Explain that there will be no exit conference or interview, as the final decision will not have been made regarding the findings until all documents have been reviewed and approved by the each program manager and director.
- District staff is not to be present in the room during the monitoring; however, district staff should be accessible should the team need additional information.
- The Team Lead will make additional contacts with the district staff, as needed.
- The LEA will receive a report of the visit within 30 days of the visit, via the LEA monitoring portal.
- The superintendent will receive an email of the notification when the report is ready.
- If findings occur, the LEA will have 30 days to submit a corrective action for each finding.
- Notify the district when the monitoring is complete for the day and/or when the monitoring visit has ended.
- Meet with Department team members prior to beginning the review of documents to:
 - Provide Title I team members with a folder of assignments and/or documents that are needed for their assigned areas (e.g., approved budgets, monitoring document sections to list documentation reviewed, and profile summary information). Each program representative will provide his/her own documents needed for monitoring their program.
 - Review the process for indicating the documents that are reviewed, how to handle the scanning of documents to be copied, and the writing of potential findings.
 - Explain team member protocols for the visit.
 - The column labeled, “Documentation on File at the LEA/To be Sent to the Department to verify compliance”, indicates the documents that should be in the folders or were uploaded to prior review.
 - Each team member must indicate the documents reviewed either during the visit or reviewed prior to visit. A list of documents reviewed should be entered directly into the portal at the time of the visit. Documentation reviewed:

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- If the documentation in the folders or reviewed prior to the visit meets the established criteria in the requirement column, then the monitoring indicator is **Met (M)**. After listing the documents reviewed, no other action is required.
- If the documentation in the folders or reviewed prior to the visit does not meet the established criteria in the requirements column, then the monitoring indicator is a **Did Not Meet (DNM)**.
- If the monitoring indicator is a Did Not Meet, the team member is to notify the Team Lead immediately. The Team member will need to scan a copy of the document or documents reviewed that are not in compliance so the Team Lead has the evidence on file for further review. The file of scanned documents should be clearly labeled by indicator for easy identification. The Team Lead may decide to have the LEA make copies of the documentation rather than having to scan them.
- If a finding is needed, the team member must be sure to provide enough documentation to support the finding and the necessary corrective action. The finding will be discussed during the debriefing session; however, in the meantime, the team member should go ahead and write a detailed description of the finding for the debriefing session. **Each program team member is responsible for writing the finding, including the relevant source citation and the required corrective action. It is not the responsibility of the Team Lead to write finding that the Team Lead has not personally reviewed in the monitoring process.** If more than one person is representing the program at the day of the visit, one person serves as the Team Lead for the program and one as the team member. The team member will either provide the finding, the relevant source citation and the required corrective action at the monitoring visit or within 10 days of the on-site monitoring visit. A detailed sample finding and template is provided in Appendix G.
- The final write-up for each finding/current condition:
 - Always begin the finding with the school district's name.
 - State the current condition of the finding.
 - State the nature of the problem/non-compliance issue.
 - State why the finding is a problem/non-compliance issue.
 - List the federal citation as to why this is a finding/non-compliance issue.

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- There is a **Met with Recommendations (M/R)** indicator. This is to be used when the LEA may have met the compliance part of the document, but additional documentation, process, or procedure may make the documentation clearer, easier to understand, and so forth. The write-up for this is similar to that of a finding. The current condition is stated with the appropriate recommendation. The relevant source citation should also be included.
- The **Not Applicable (NA)** indicator is marked if the indicator is not applicable to the LEA.
- The monitoring team will work without the LEA in the monitoring room. If clarification is needed on documentation that is being reviewed, the team member will ask the Team Lead to request specific district staff to come into the room for clarification or for additional documentation.
- Actively participate in the monitoring, stay on task, and work quietly.
- Facilitate the debriefing of the monitoring visit and reaching consensus on findings and recommendations. Discuss any findings and how they should be written.
- Contact the Title Programs Director during the monitoring for the following conditions:
 - If an LEA is unprepared for monitoring, the Team Lead must contact the Title Programs Director to determine if another date should be scheduled.
 - If it is deemed necessary based on the monitoring findings to issue a cease-and-desist statement to the district, the Team Lead must contact the Title Programs Director first.
 - If team members are not professionally dressed or courteous.
 - If team members did not attend the monitoring visit.

Title I Results Based Monitoring

As part of the Cross-Functional Monitoring Team visit the Title I members of the team will meet with the Title I director, district superintendent, finance director, and other appropriate Title I staff to review the Title I instructional program and achievement data. The monitors will use a set of prescribed questions to interview the LEA regarding the process that the district utilizes to design its Title I program based on achievement data. Responses to the interview questions will be recorded. The interview process should take approximately one hour. At the conclusion of the compliance portion of the monitoring

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visit the Title I monitors will visit and interview preselected Title I schools in the LEA. The principal, Title I teachers, and other appropriate staff will be interviewed.

As part of the Cross-Functional Monitoring Team visit, the Title I Team Lead and team member will conduct individual interviews with the district level staff and preselected Title I school staff. The monitors will use a set of prescribed questions regarding the process that the district utilizes to design its Title I program based on achievement data. At a minimum the Superintendent and Title I director will be interviewed at the district level and the principal and a staff member, either a teacher or academic coach, at the school level. The interview process should take approximately 15-20 minutes per person interviewed. The responses to the interview questions are recorded.

The LEA should expect a report, via the portal, from the Department within 30 days of the results based monitoring interview.

Follow-up of the On-site Monitoring Visit

Immediately following the monitoring visit, the Team Lead is to send a thank-you letter to the superintendent and Title I director. The purpose of the letter is to thank the LEA for its hospitality and cooperation. It also states that the LEA should receive a final report of the monitoring results for each of the programs monitored within 30 days of the monitoring visit.

A sample Thank-You Letter template is included in Appendix H.

Cross-Functional Monitoring Visit Feedback

Each LEA is provided feedback from the Cross-Functional Monitoring Visit via the Georgia Department of Education (Department) portal. Each LEA must have two persons provisioned for LEA monitoring to access LEA e-monitoring. This includes the superintendent and Title I director.

Once the on-site visit is complete, the Team Lead is responsible for entering the information from the visit into the LEA Monitoring portal. The LEAs should receive a final report within 30 days of the visit.

Department Feedback to the LEA

On-Site Review

The Team Lead for each program, or the team member assigned, will complete the following steps on the On-Site Review section within the LEA Monitoring Portal:

- Mark each indicator as Met, Met with Recommendations, Did Not Meet, or Not Applicable.

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- The Documents Reviewed section must be completed for all indicators, even the indicators that have been marked as Met. The section should include a list of all documentation reviewed at the district for each specific indicator.
- If the indicator is marked as Met with Recommendations or Did Not Meet, the Finding/Current Condition section must be completed. The narrative should include the situation that was found on the day of the on-site visit, plus the legal citation that supports the requirements that the indicator is requesting. (See previous section on writing finding/current condition.)
- Attach all documents that support the status of Met with Recommendations and Did Not Meet.
- Team Lead will sign off on this section when it is complete.

Compliant

If the team found that each indicator was in compliance (all indicators marked Met), the sign-off of the on-site review will trigger an email to the program manager for the program, who will review the information provided. If the program manager agrees with the team's response, he/she will sign off, and an email will be sent to the program director for approval. Approval at this step will trigger an email to the primary program director, who will sign off that the monitoring is complete. The LEA will then receive an email notification that the monitoring report is complete and that the LEA is compliant. At any time, the program manager, program director or primary program director can request a revision. This request goes back to the Team Lead for review and revision.

Findings

If findings were indicated on the on-site review, the finding/current condition portion of the indicator must be completed. This section should clearly state the issues found by the review team. There must be enough detail for the LEA to know exactly why the indicator did not meet the requirements. Team Leads are responsible for correcting grammar or spelling errors and ensuring that the information reported is accurate.

Once the program Team Lead completes and signs off on the On-site review, the findings and recommendations portion of the monitoring portal is activated. The only indicators that appear within this section are the indicators marked Met with Recommendations or Did Not Meet. All information that was included on the On-Site Review Findings/Current Condition section is forwarded to Findings and Recommendations section. At this point the findings/current condition information can be reviewed and revised if necessary.

The program Team Lead will complete the corrective action section indicating the requirements of the LEA for each of the findings. The required corrective action plan is

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written with enough detail so that the LEA knows exactly what is required to meet the indicator.

Sign-Off and Review of Requirements

Once all the findings, with the appropriate corrective action requirement, are completed:

- The program Team Lead will sign off.
- The appropriate Department program manager will receive a notification for review. If in agreement with the findings and required corrective action the program manager will sign off. This triggers an email sent to program director for review.
- If the Department program manager determines that a revision is needed, the finding/corrective action is returned to the Team Lead, and the finding/corrective action process begins over.
- Once the Department program manager approves the findings and corrective action as-written, the appropriate Department program director reviews the information and approves the information or requests a revision.
- Once the Department program director approves the finding/corrective action and email is sent to the primary program director for approval. If approved the LEA receives an email that a corrective action is required or the monitoring is complete.

LEA Response to Monitoring Feedback

The areas in which the indicators are met require no further action. The areas that are Met with Recommendations require no further action. Only the indicators that are marked as Did Not Meet will require a corrective action.

- Corrective Action Requirements:
 - The LEA has 30 business days to respond to any required actions.
 - The LEA must clearly label and attach all documentation that is required of the corrective action.
 - If the corrective action requires written procedures, these procedures must be attached as a separate document rather than stated in the text box.
 - The program Team Lead monitors the implementation of the timeline of the LEA corrective action and recommends an appropriate alternative if strategies are not implemented in a timely manner.

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- Any LEA failing to correct deficiencies outlined in the LEA written corrective action timeline is subject to a delay of funds until corrections are made.
- The Title I director will sign off within the portal once all documentation is completed. An email is sent to the superintendent for approval.
- The superintendent must open and review each finding before signing off. This approval triggers an email to the program Team Lead for review.

Department Response to LEA Corrective Action

Once the superintendent has signed off on the corrective action, the program Team Lead reviews the corrective action for compliance. If no further information is needed, the Team Lead will sign off that the corrective action is complete, indicating that the LEA is now in compliance. The LEA's corrective action is then reviewed by the Department program manager for the applicable areas; Department program director; and Department primary program director for approval.

If at any time through this review process it is determined that additional information is needed from the LEA, the corrective action is sent back to the LEA for revision. Explanations of the required revisions are made in the Comments and Communication Section within the LEA monitoring portal. Be sure to “uncheck” the box so that district level staff can read the revisions/ comments. Then the review process begins again.

Once all the findings have been cleared through the corrective action, the primary program director will sign off that the corrective action is complete. The LEA will receive notification of the sign-off via email.

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Appendices

- A. Email Notification of Cross Functional Monitoring Team Visit Date
- B. Sample LEA Profile Sheet
- C. Reconfirmation Email to LEA Prior to On-Site Cross Functional Monitoring Visit
- D. On-Site Cross Functional Monitoring Visit Assignments
- E. Email Reminder to On-Site Cross Functional Monitoring Visit Team Members
- F. Sample Agenda for On-Site Cross Functional Monitoring Visit
- G. On-Site Cross-Functional Monitoring Team Sign-In Sheet
- H. Cross-Functional Monitoring Team Members' Written Responses
- J. Post-Cross Functional Monitoring Team Visit Thank-You Letter to LEA

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Appendix A

Sample Email Notification of Cross-Functional Monitoring Team Visit Date

Dear:

The Georgia Department of Education (Department) is in the process of scheduling the Department's On-Site Cross-Functional Monitoring Team visits for FY17. When trying to determine a possible date to monitor your school district, the Department took into consideration your holiday schedules; however, there is no way to avoid all of the testing dates. The Department will be monitoring all of the following programs that apply to your system:

- Title I, Part A – Improving the Academic Achievement of the Disadvantaged
- Title I, Part A – Parent and Family Engagement
- Title I, Part A – Academic Achievement Awards, including Title I, Part A Reward Schools Award; Title I, Part A Reward District Award; and National Title I Distinguished School Award
- Title I, Part A – ESEA Flexibility Waiver – Flexible Learning Program (FLP)
- Title I Part A – School Improvement Grants – State Reservations –1003(a)
- Title I, Part A – School Improvement Grants – Assistance for School Improvement – 1003(g)
- Title I, Part D – Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk
- Title I, Part C – Education of Migratory Children
- Title II, Part A – Preparing, Training, and Recruiting High-Quality Teachers and Principals
- Title III, Part A – Language Instruction Limited English-Proficient (LEP) and Immigrant Students
- Title X, Part C – McKinney-Vento Homeless Education Assistance for Children and Youth
- Title VI, Part B – Small, Rural Education Achievement Program (REAP)
- IDEA - The Individuals with Disabilities Education Act

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[Insert Name], Title I Education Program Specialist, and I will be the Title I persons on the monitoring team assigned to your District. I will be serving as the Team Lead for your visit. Once this schedule is confirmed, staff from other programs being monitored will be assigned to our monitoring team. My team members and I are scheduling 14 district visits, so there is very little flexibility in the schedule. The monitoring schedule for the districts in which I am Team Leader is below. I ask that you confirm the date on the schedule by return email today, if possible, unless extreme circumstances would prevent a visit on that date. If there should be an extreme circumstance that would not allow us to visit on the day scheduled, please give me a call so that we can try to reschedule.

I look forward to seeing each of you on this visit. If you have questions about the monitoring visit, do not hesitate to contact me by email or phone. My contact information is below.

District Name	Monitoring Date

[Insert signature with title and contact information]

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Appendix B

Sample Profile Sheet

System Name and Declaration Status	_____ Strategic Waivers School System (formerly IE ²)		
	_____ Charter System		
	_____ Title 20/No Waivers System (formerly Status Quo)		
Title I Allocation			
Improvement Status	No	Yes	If Yes, List Schools
Priority Schools			
Focus Schools			
Flexible Learning Program	No	Yes	If Yes, List Schools
Academic Awards	No	Yes	If Yes, List Schools
Reward District			
Reward Schools			
School Improvement 1003a	No	Yes	If Yes, List Schools
School Improvement 1003g	No	Yes	If Yes, List Schools
Non-Title I SIG schools	No	Yes	If Yes, List Schools
Highly Qualified Status	Percentage		
Teachers			
Paraprofessionals			
ND Funds	No	Yes	Amount
ND Schools	No	Yes	If Yes, List Schools
ND Programs	No	Yes	If Yes, List Programs
Charter Schools	No	Yes	If Yes, List Schools
Targeted Assistance Schools	No	Yes	
Schoolwide Schools	No	Yes	
New FY16 Schoolwide Schools	No	Yes	If Yes, List Schools
Non-Title I Schools	No	Yes	

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Private School Participation	No	Yes	If Yes, List Private Schools
Pre-K Programs funded by Title I	No	Yes	
Poverty over 75-percent	No	Yes	
Serving Schools Below 35-percent	No	Yes	
Rezoned Schools	No	Yes	If Yes, List Schools
Community Eligibility Provision (CEP) used for Poverty Calculation	No	Yes	
Met Maintenance of Effort (MOE)	No	Yes	If No, Give Status (waiver or not)
Comparability	No	Yes	
Class Size Reduction Teachers	No	Yes	
Financial Audit Findings (last 2 years)	Year		Indicate Year
On-Site Monitoring (Most Recent)	Year		Area of Findings
School Food Nutrition Audit Finding	No	Yes	If yes, List Status
Waiver Request for Carryover	No	Yes	
Other Grant Funding			
Title I, Part D, Subgrant 2	No	Yes	
Title I, Part C, Migrant	No	Yes	
Title II, Part A	No	Yes	
Title III	No	Yes	
Immigrant funding	No	Yes	
Title VI B (REAP)	No	Yes	

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Appendix C

Reconfirmation Email to LEA Prior to On-Site Cross-Functional Monitoring Visit

[Insert Title I Director's Name],

I look forward to the *[Insert District Name]* County Cross-Functional Monitoring Team visit on *[Insert date]*. The visit will begin at 9:00 AM at the central office located at *[Insert Location Address]*.

There will be *[insert number]* people present for the monitoring: *[List the team members]*.

[Insert persons and programs that will be conducting desktop monitoring] will contact you directly for the requirements that are needed for desktop monitoring.

The Title I **interview** portion of the monitoring visit (Results Based Monitoring) will begin after we are set up and introductions are made. We will need a separate private location for the interviews. *[Insert Title I team member's name]* and I will conduct individual interviews with the following people: Superintendent, Title I Director, a principal and a teacher from that principal's school. The following is the schedule we would like to follow for the Title I interviews.

9:10– 9:30 Superintendent *[Insert name]*

9:30 – 9:50 Principal of *[Insert school person's and name]*

9:50 – 10:10 Title I Director *[Insert name]*

10:10 – 10:40 Staff Member of *[Insert school person's and name]*

[Insert name] will conduct interviews for the parental involvement portion of the visit. He will need a separate private location for his interviews. *[Insert name]* will conduct interviews with the Title I director, a principal, and the district level parental involvement coordinator. The following is the schedule we would like to follow for the Parental Involvement Interviews:

9:10– 9:30 Principal of *[Insert school and person's name]*

9:30 – 9:50 Title I Director *[Insert name]*

9:50 – 10:00 Family Engagement Coordinator *[Insert Name]*

If the times need to be adjusted slightly to accommodate the school level staff please let me know. Also, let me know the name of the school level staff member so that I can prepare an official interview schedule.

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On the day of monitoring we will need a room, with privacy, large enough to accommodate the team, with a place to plug in our computers, internet access, and access to a copier. We will also need a separate room for interviews.

Also, be reminded that you are to upload certain documents for [**Insert grants to be uploaded**] prior to the visit. Please refer to the training PowerPoint for specifics. If you have any questions, please do not hesitate to contact me.

[Insert signature with title and contact information]

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Appendix D

[Insert Title I Director's Name],

Sample Email Reminder to On-Site Cross Functional Monitoring Team Members

The *[Insert District Name]* County Cross-Functional Monitoring Team visit will be *[Insert Date]* beginning at 9:00 AM. Please plan to arrive at least 15 minutes early, by 8:45 AM. We will meet in the *[Insert the name of meeting location]* located at *[Insert physical address]*. The Superintendent is *[Insert name]* and the Title I Director is *[Insert name]*. The telephone number is *[Insert Telephone Number]*. Even though the visit is scheduled for two day, I do not anticipate it taking more than one day.

To prepare you may want to review the CLIP and the Consolidated Application budgets before you arrive to get a sense of how the system uses federal funds.

Keep in mind that in FY17 Title I will implement *Results-Based Monitoring* which includes an *on-site interview* of district level staff and staff from preselected school(s). The district will also be uploading specific *requested documents* for team members to review prior to the on-site visit. As has been the procedure in the past, the Team Lead will take the lead in the process and schedule and conduct the Title I interview with the LEA Title I director/coordinator, superintendent, and other appropriate Title I staff as deemed necessary. Please be sure to examine/review uploaded documents requested by your program area prior to the on-site visit.

As a reminder, please **be sure to bring your laptop and a copy of the FY17 Monitoring Document**. The E-monitoring site is available in the Portal for data to be entered directly online at the time of monitoring. If, for some reason, we don't have Internet access, please be prepared to capture data and documents reviewed so information can be entered at a later time.

Note also that this will be strictly a monitoring visit so we will not spend time providing technical assistance during the visit. There will also be no exit/feedback conference with LEA staff. At the conclusion of the visit when all documents have been reviewed, the monitoring team on-site will meet to discuss the visit and come to consensus. We will make adjustments as necessary to ensure a smooth work flow.

The following persons have been assigned as team members for the *[Insert District Name]* **Cross-Function Monitoring:**

[Insert Team Member Name and indicate On-Site or Desktop]

DESK TOP MONITORS: If you should find a situation that will impact a Title I finding please let me know. An example would be a time log in which the director is paid with Title I and another grant.

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If you have any questions, please feel free to give me a call. My office number is *[Insert Telephone Number]*. I look forward to serving on this team with you. If you have received this email and you will not be joining us please let me know.

[Insert signature with title and contact information]

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Appendix E

Sample Agenda for On-Site Cross Functional Monitoring Team Visit

Georgia Department of Education
Cross-Functional Monitoring Team Visit
Agenda
[Insert LEA] County
[Insert Date]

Meet with LEA staff to explain the monitoring protocol:

- Provide introductions.
- Explain purpose of monitoring.
 - To ensure that all children have a fair, equal and sufficient opportunity to obtain a high quality education.
 - Monitoring emphasizes accountability
 - Vehicle for the Department to assist LEAs in achieving high quality implementation of educational programs.
- Explain ways in which LEAs are monitored.
 - Consolidated Application
 - CLIP
 - Budget
 - Review of Single audit documents
 - Self-Monitoring Checklist
 - On-site Monitoring – the Cross-Functional Monitoring Team
- Explain Process of the visit:
 - No exit conference or interview as the decision has not been made regarding the findings until all documents have been reviewed and approved by the program manager and director.
 - District staff is not to be present in the room during the monitoring; however district staff should be accessible should the team need additional information. The Team Lead will make additional contacts with the district staff.
 - The LEA will receive a report of the visit within 30 days of the visit via LEA monitoring portal. The Superintendent will receive an email of the notification when the report is ready.
 - If there are findings the LEA will have 30 days to submit a corrective action plan of how the findings will be corrected.

Meet with Department team members prior to beginning the review of documents.

- Provide team members with a folder of assignments and/or documents that are needed for their assigned areas (approved budgets, monitoring document sections to list documentation reviewed, and profile summary information).
- Explain team member protocols for the visit.
 - Explain Process for review of documentation
 - Listing of documents reviewed

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- Indication of compliance
- Met
- Did Not Meet
 - Notify the Team Lead immediately.
 - Provide enough documentation to support the finding and the necessary corrective action. Write the finding/current condition.
 - Example of a final write up for finding/current condition:
 - Always begin the finding with the school district's name.
 - State the current condition of the finding.
 - State the nature of the problem/non-compliance issue.
 - State why the finding is a problem/non-compliance issue.
 - List the Federal citation as to why this is a finding/non-compliance issue.
- Met with Recommendations (MR)
- Not Applicable (NA)
- Actively participate in the monitoring and stay on task. Let Team Lead know when finished with assignments.

Conduct Results Based Monitoring Interviews

Debriefing of the monitoring visit to reach consensus on findings and recommendations.

Notify the district when the monitoring is complete.

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Appendix F



Georgia Department of Education Monitoring Team

Date: _____

System: _____

Name (printed)	Signature	Title	Job Responsibility	Email	Phone
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

Monitoring Team:

Name	Area
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Appendix G

Cross-Functional Monitoring Team Members' Written Responses

Responsibilities of the Team Lead

Facilitates debriefing the team and reaching consensus on findings and recommendations

Ensures that data submitted for findings and required corrective actions is entered into the LEA Monitoring Application and submitted to the Title I, Part A Program Manager **within two weeks** of the on-site monitoring visit

Responsibilities of the Team Member

Each team member must either write down or enter directly into the On-site Review section of the e-monitoring report all documents reviewed.

Ensure that documentation supporting findings is copied/scanned and provided to the Team Lead or uploaded directly into the portal.

At the end of the monitoring visit is the cross-functional monitoring team's debriefing session, the Team Lead will discuss a finding and how to it is to be written.. In the meantime, each team member should write a detailed description of the finding for the debriefing sessions.

Ensure that the current condition and finding, including relevant source citations, is entered directly into the portal and the required corrective action information submitted to the Team Lead, **within one week** of the on-site monitoring visit.

Example of a Final Write-Up for a Finding/Current Condition

Always start the finding with the school district's name.

State the current condition of the finding.

State the nature of the problem/non-compliance issue.

State why the finding is a problem/non-compliance issue.

List the federal citation as to why this can be called a finding/non-compliance issue.

Write Corrective Action

See sample below:

Finding/Current Condition

16.3 – ABC County School District provided records of schoolwide expenditures verifying that funds have not supplanted non-federal resources. However, two purchase orders— #01113018 to Music in Motion (vendor) for ABC Elementary School and #01113911 to American Association of School Administrators (vendor)—for DEF Elementary were questioned. PO #01113018 in the amount of \$125.25 to Music in Motion revealed that the district purchased supplies for use in the music teacher's (Ms. Tiger's) classroom. This expenditure is an unallowable use of Title I, Part A funds. PO #01113911 in the amount of \$190.00 to the American Association of School Administrators was for membership for Susan Pottery, principal of DEF Elementary. This expenditure is questionable, given that the district did not provide supporting documentation with the PO to verify (1) that the expenditure supports activities required under Title I, Part A of the Elementary and Secondary Education Act of 1965 (ESEA) and (2) that the expenditure supplements non-federal funds.

Citation: FISCAL REQUIREMENTS (1) IN GENERAL – A state educational agency or local educational agency shall use federal funds received under this part only to supplement the funds that, in the absence of such federal funds, would be made available from non-federal sources for the education of pupils participating in programs assisted under this part, and not to supplant such funds. [Section 1120A (b)(1), ESEA] *All uses of funds must be in conformity with 2 C.F.R. Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, EDGAR (34 C.F.R. Parts 75, 76, 77, 81), 2 and Requirements of ESEA, Section 1120A: Maintenance of Effort, Comparability of Services, and Supplement Not Supplant.*

In addition, the purpose of Title I, Part A funds is to enable schools to provide opportunities for children served to acquire the knowledge and skills contained in the challenging state content standards, and to meet the challenging state performance standards developed for all children. The law provides many flexibilities and opportunities for LEAs and schools to meet the purpose of Part A. In schoolwide program schools, an LEA may use Part A funds for any activities that are part of the schoolwide program plan. In targeted assistance schools, however, Part A funds may only be used to meet the needs of participating children.

The local educational agencies (LEAs) must consider the requirements of 2 C.F.R. Part 200 Subpart E (Allowable Costs), which specify that allowable costs under a grant to a state, local, or Indian tribal government are determined under the 2 C.F.R. Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirement for Federal Awards. This grant guidance provides general guidelines on allowable costs as well as specific determinations regarding certain kinds of costs.

The No Child Left Behind Act of 2001, Public Law 107-110, reauthorized as the Elementary and Secondary Education Act of 1965 (ESEA): Each LEA, or consortium of such agencies, that receives a subgrant under this subpart may use such funds to carry out activities that comply with Sections 1112, 1114 and 1115(LEA).

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Required Corrective Action

The ABC County School District must submit to the Georgia Department of Education (Department) accounting details to support journal entries in the amount of \$125.25, or have been made to another fund source for PO #01113018, or the district must remit payment in the amount of \$125.25 to the Department. The district must also submit to the Department evidence that \$190.00 for PO #01113911 for membership to the American Association of School Administrators is allowable and is not a supplanting issue. Such evidence includes information as to how membership in the American Association of School Administrators supports activities required under Title I, Part A of the Elementary and Secondary Education Act of 1965 (ESEA) and documentation to verify that federal funds have been used to supplement non-federal funds as is required by ESEA. (What funds are used to provide this membership in other schools in the district? How has this membership been funded in previous years?) If the ABC County School District is unable to support that this expenditure is allowable and is not a supplanting issue, the district must submit a journal entry transferring these expenditures to another fund source or remit payment in the amount of \$190.00 to the Department. All corrective actions must be completed within 30 business days of receipt of this corrective action request.

Appendix H

Post-Monitoring Thank-You Letter to LEA

(Printed on Letterhead)

[Insert Date]

[Insert Name]

Superintendent

[Insert District Name] County School District

[Insert Address]

Dear *[Insert Name]*:

Thank you for your cooperation during the Georgia Department of Education (Department) monitoring visit on *[Insert Date]*. You will receive a final report of the monitoring results for each of the programs monitored within 30 days of the monitoring visit.

Please note that, if after final analysis of all documentation your school district has complied with all provisions of the Elementary and Secondary Education Act of 1965 (ESEA), as amended, no further action will be required on your part. However, if your district was unable to document compliance with all provisions, you will be notified about the finding(s) and the steps needed to correct any deficiencies.

If you have any additional questions, please do not hesitate to contact me. You may contact me by email at *[Insert Title I Education Program Specialist's email address]* or by telephone at *[Insert Title I Education Program Specialist's telephone number]*.

Sincerely,

[Insert Title I Education Program Specialist's name]

Title I Education Program Specialist

cc: *[Insert Title I Director's Name]*