

# What Every New Director Needs to Know about Monitoring

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Executive Director

[mdek12.org](https://mdek12.org)



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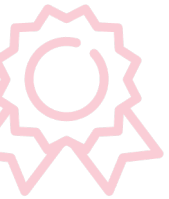
## VISION

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



## MISSION

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



1

**ALL** Students Proficient and Showing Growth in All Assessed Areas



2

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



3

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

**EVERY** School Has Effective Teachers and Leaders

4



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

5



**EVERY** School and District is Rated “C” or Higher

6



# Microsoft Teams Reminders

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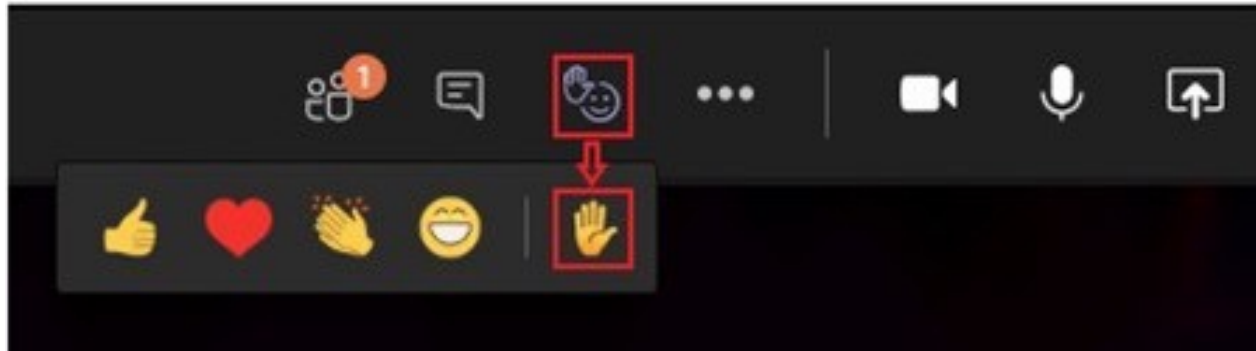


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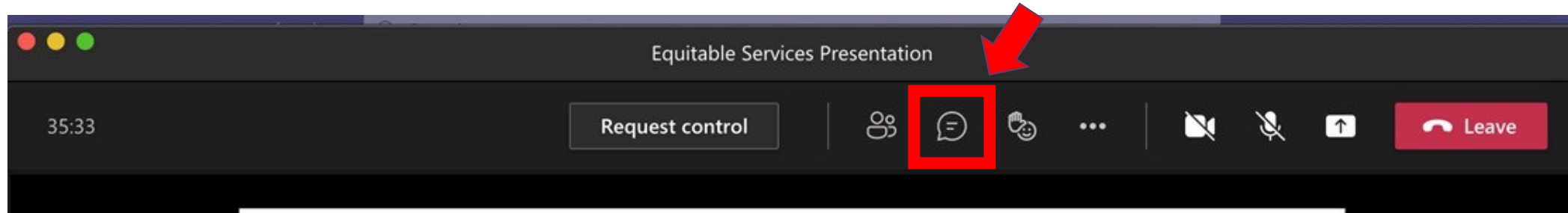
- Please mute yourself unless you have a question to reduce background noise
- Please cut the camera off to save bandwidth to reduce technical glitches
- Please ask questions throughout the presentation via chat or “raise hand” feature

## “Raise Hand” Feature

Just select **Show reactions** 🙌 in the meeting controls, and then choose **Raise your hand** 🙋 . Everyone in the meeting will see that you've got your hand up.



## "Chat" Feature



- To use the **chat** feature in Teams, simply click the “Chat” icon. The **chat box** will appear on the right. Type your message in the chat box and click the “Send” icon to send your question.

- This session will be recorded to increase availability and access to the technical assistance session.
- Recording will be available as a resource.
- Presentation and recording will be updated in MCAPS, MDE Document Library, Technical Assistance Sessions, FY23 TA Sessions folder.



# Agenda

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**FY23 Risk Assessment**

**Required Policies and/or Procedures**

**Tips for Monitoring**

**FY23 Monitoring Instrument Review**

The goal of this session is to provide LEAs information regarding monitoring and compliance with fiscal and programmatic indicators.

Our objective is to ensure 100% of our new directors have the knowledge to ensure fiscal and programmatic compliance.

The purpose of this session is to provide participants with updates regarding FY23 Monitoring as they relate to the Every Students Succeed Act (ESSA) and possibly ESSER

### **Expected Outcomes:**

- A clearer understanding of federal requirements under ESSA
- Review fiscal and programmatic elements of the monitoring instrument

- Audit Findings (5) - Any finding from the most recent audit of LEA/Subgrantee financial records related to the applicable Federal program (13 LEAs)
- New Personnel (5) - Any personnel new to the LEA/Subgrantee in the most recent fiscal year responsible for Federal grants management (superintendent, federal programs director, business manager) (September 1, 2022) (30 LEAs)

- Fiscal Monitoring Findings (5) - Fiscal monitoring findings from self-assessment, phone/desk review, or onsite review from the most recent fiscal year (FY22 Monitoring) (24 LEAs)
- Late Budget (5) - Most recent consolidated budget application submitted any date after June 30, 2022 (No violations)
- Late FETS (5) - Most recent FETS submitted any date after October 15 (No violations)

- Application Revisions (FY22) (5) - LEA/Subgrantee has exceeded 7 revisions (include any revisions required by MDE and 5 additional revisions) (No violations)
- Allocation Amount (5) - Most recent fiscal year allocation amount in the top 10% (2 LEAs)
- Overpayments (5) – Overpayment of any amount in the most recent fiscal year (No violations)

- Lapsed/Forfeited Funds (5) - Lapsed or forfeited funds of any amount in the recent fiscal year (\$1,000 or more) (51 LEAs)
- Last Fiscal Monitoring – (15) Date of last fiscal monitoring more than four years ago (No Violations)
- LEA/Subgrantee Personnel Attending Training (5) - Attended Grants Management Training in the past three years (No violations)
- Question Cost Repayment (5) - Repayment of Questioned Cost of less than \$50,000 (No violations)

- Financial Concerns (25) - Identified financial concerns in the prior fiscal year, including but not limited to **financial distress, impending Charter School closure or LEA consolidation/merger, indications of fraud/abuse, Cash Management Plan assignment, award restrictions, carryover violations, and did not meet maintenance of effort, Not Meeting Comparability, violation of prior year Single Audit Compliance, or Repayment of Questioned Cost of \$50,000 or more (25 LEAs)**


- Timely Correction of Findings (5) - correction of fiscal monitoring findings within given timeframe (2 LEAs)
- Timely Submission of Data (5) - submission of information within the given timeframe (39 LEAs)
- Data Quality (5) - failed to submit complete and/or accurate data (93 LEAs)

- High Risk: Risk score greater than 25
- Medium Risk: Risk score between 20-25
- Low Risk: Risk score 15 or less

- FY23 Consolidated Monitoring will review documentation from the 2021-2022 school year
- FY23 Consolidated Monitoring will be both fiscal and programmatic reviews of selected programs
- LEAs will receive monitoring for FY22 Title III and McKinney Vento Homeless Assistance

# Required Policies and/or Procedures

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A female teacher with long brown hair, wearing a tan trench coat over a dark red top, stands in a classroom. She is pointing with both hands towards a large digital screen on the right. The screen displays several multiplication problems:  $(5 \times 4) \times 3$ ,  $5 \times (4 \times 3)$ ,  $12 \times 5$ ,  $(5 \times (4 \times 3))$ , and  $(3 \times 5) \times 4$ . Some of these expressions are circled or highlighted. In the background, there is a whiteboard with handwritten notes, including 'Mrs. Dickerson', 'Class', and 'Book'. Several students are seated at desks in the foreground, some with their hands raised. The classroom is decorated with various posters and notices on the walls.
$$(5 \times 4) \times 3 \quad 5 \times (4 \times 3)$$
$$(5 \times (4 \times 3)) \quad 12 \times 5$$
$$(3 \times 5) \times 4$$

- Policies – goals for your organization
- Procedures – steps to achieve your goals

- Written Cash Management Procedure
- Written Allowability Procedure
- Written Conflicts of Interest Policy
- Written Procurement Procedures
- Written Method for Conducting Technical Evaluations of Proposals and Selecting Recipients
- Written Travel Policy

- Procedures for managing equipment
- Time and Effort policies and procedures
- Parent and Family Engagement
- EL/Immigrant
- McKinney Vento Homeless Education

# Tips of Monitoring



Communication between the Business Administrator and the Federal Programs Director is mandatory.

Everyone must be on the same page as to which employees and what services, etc. will be paid from federal funds.

Each Director must become, at least partly, a money person.

Each member of the business operations must become, at least partly, a programmatic person.

- MCAPS and the District's accounting software MUST agree
- Cannot request reimbursement for items not budgeted
- MDE's opinion: items purchased before budgeted are non-allowable
- CFPA Monitoring

- In addition to the policy/procedures, Monitors check for IMPLEMENTATION-are you doing what you said you will do?
- If your policy/procedure goes beyond what is required by the federal regulations, you are bound to your policy/procedure.



# Monitoring Findings

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- Accounting – overspending, budget misalignment
  - Overspending by school locations
  - Budget misalignment with MCAPS budget and LEA's accounting system
  - FETS reporting inaccurate

- Fixed Asset – missing equipment, inadequate documentation
  - Dispositions not reported timely or accurately
  - Not following check-out procedures
  - Location of items inaccurately reported

- Procurement – not following procedures or regulations, inadequate documentation
  - Failing to secure 2<sup>nd</sup> quote or competitive bids when required
  - Procurement packets incomplete (missing required documents and/or signatures)
  - Bid packets incomplete

- Data quality – MSIS data check
  - Incomplete data screen
  - Inaccurate data reporting
  - Requesting changes after monthly approval
- Personnel – PARs
  - No time and effort documentation
  - Payroll information not aligned to MCAPS budget

# FY23 Monitoring Instrument

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