



Idaho Department
of Education

Federal Programs Monitoring Process

The what's, the why's and the how's



Federal Program Monitoring...what does that mean to me?

Welcome to Federal Programs Monitoring—a team sport

When LEAs take Federal funds, they are agreeing to be monitored/provide evidence regarding how funds were spent and provide data showing that interventions are effective.



What it *feels like*...



What we *wished* it looked like...



What it *actually* looks like...



Purpose of Monitoring

The Idaho Department of Education desires to have a monitoring process that results in improved and strengthened partnerships between the Idaho Department of Education and Local Education Agencies (LEAs). The department encourages LEAs to develop and implement effective and coherent programs to meet the needs of all students.

Monitoring Process

What is it?

- IDE monitors requirements/compliance of ESEA
- IDE provides technical assistance
- IDE works with LEAs to support programs and meet requirements

Process cont.

When is it?

- Currently a six year cycle (with special exceptions for McKinney Vento subgrant, Homeless & Neglected Youth and LEAs with significant risk factors)
- LEAs are identified and notified in the spring for the following school year. Dates are agreed upon by the end of summer.
- ALL LEAs not identified for direct monitoring complete the Self-Assessment EVERY YEAR except those years where they are being directly monitored

Timeline

LEA Selection & Notification	March-April
Pre-Monitoring Training for LEAs	September-October
Documentation and Data Uploads	Two weeks prior to review date
Document and Evidence Reviews	Two weeks prior to review date or onsite
Monitoring Events (Virtual or Onsite)	November - March
Draft Report to LEA	On review date
Final Monitoring Summary Report	3 days after review date
Corrective Action Plan	30 days after Final Monitoring Summary Report
Appeals Window	1 year after date of Final Monitoring Summary Report
Corrective Action Plan Follow-up	Varies based on LEA Corrective Action Plans

How is it done?

- LEAs provide evidence/documents by uploading to the Secure File Transfer Portal (SFTP) also lovingly referred to as The MUT (monitoring upload tool)
- The department reviews evidence
- Team gathers for monitoring summary meeting
- 3 days provided for LEA to provide any additional input
- Corrective Action Plan generated and provided to LEA; LEA responds to Corrective Action Plan

How did I end up here?



Process

The Idaho Department of Education must complete a risk assessment of all LEAs to determine what type of monitoring is appropriate. [2 CFR 200.332\(b\)](#)

The Federal Programs Monitoring Risk Factor Consideration Worksheet looks at the following factors:

- Date of previous monitoring
- Sum of all federal funds
- Previous monitoring findings
- Fiscal audit findings
- Excessive carryover waivers
- Timeliness of report(s) submission(s)
- Changes in Title Program status (e.g. adding or removing a title program)
- Key personnel turnover

Monitoring Activities Tier 1

Self-assessment: LEAs are required to complete and submit a self-assessment annually UNLESS they are being monitored directly in some other manner.

Other Tier 1 monitoring activities include:

- CSFGA for both budget review and program goals and activities
- Grant Reimbursement Application requests
- Fiscal audit by Public School Finance
- Annual Performance Report (APR)
- Schoolwide Improvement Plan (SWIP)
- Ongoing technical assistance visits

Tier 2

LEAs are selected annually for Tier 2 program and fiscal reviews based on the risk assessment and **at least once every 6 years.**

LEAs will receive a direct monitoring review at least once every 6 years. LEAs that have not received a desk review or onsite visit in the previous 5 years are identified for direct monitoring. If LEAs demonstrate low risk on the risk assessment and are selected for monitoring in this category, monitoring will include a subset of indicators.

Tier 3

Tier 3 reviews, or targeted monitoring, provide LEAs with intensive monitoring, technical assistance, and support for federal programs. LEAs are selected for Targeted Monitoring based on multiple factors, including but not limited to Federal Programs Monitoring Risk Assessments, frequency and quantity of monitoring findings, and by LEA request.

Federal Single Audit

LEAs who receive greater than \$1,000,000 in federal grants during a single fiscal year are required to complete a Single Audit in alignment with [2 CFR 200.501](#)

Monitoring Types

- Onsite Review
- Desk Review
- Targeted Review
- Re-visit Review

Documentation

Regardless of the type of monitoring assigned:

**ALL DOCUMENTATION IS
DUE TWO WEEKS PRIOR
TO YOUR MONITORING
DATE**

2 weeks
(14 days)
(336 hours)

Monitoring Tool

The Federal Programs Monitoring Tool includes all indicators for each program included in monitoring activities. Indicators describe the rule or statute and provide examples of evidence or documentation that fulfill monitoring requirements.

PROGRAM EFFECTIVENESS AND STUDENT ACHIEVEMENT						
STUDENT IDENTIFICATION (SID)						
Indicator/ Programs	Citation	Supporting Documents and Resources	Y	N	NA	
SID 1 • ALL LEAs • III-A OCR	Home Language Survey *Applies to ALL Districts/Charters The LEA accurately identifies all potential English Learners using the Statewide Home Language Survey (HLS) for all newly enrolling students. Title V of the Civil Rights Act of 1964, ESSA Section 1113(b)(2).	Upload following evidence: <input type="checkbox"/> For all participating schools. Upload completed, redacted sample forms. (onsite file review also.) <input type="checkbox"/> Provide a copy of completed current State-Approved Home Language Survey found in all students' cumulative files – Qualified EL students and English –only students. State-Approved Home Language Survey <input type="checkbox"/> Submit evidence the LEA has current personnel assigned to the ELMS/ELMS (SEE admin tool user role) noted in CSGA *In accordance with Senate Bill 1371, the LEA must remove all personally identifiable data and/or information before submitting documentation				
SID 2 III-A III-C	Migrant Parent Employment Survey The LEA assists with identification of all potential migratory children and youth using the statewide "Parent Employment Survey" (PES) for all newly enrolling students. Note: This furthers the purpose under Title I-A of "coordinating services under all parts of this title with each other, with other educational services" ESSA Section 1001 (11)	Upload following documentation: <input type="checkbox"/> Completed redacted Parent Employment Survey samples (for migrant students and for non-migrant students). <input type="checkbox"/> Current State-approved "Parent Employment Survey" in students' cumulative files for all newly enrolled students starting with the 2019-2020 school year. For non-migrant funded districts ONLY:				

Indicator/ Programs	Citation	Supporting Documents and Resources	Y	N	NA
<p>SID 2</p> <p><u>I-A</u></p> <p><u>I-C</u></p>	<p>Migrant Parent Employment Survey</p> <p>The LEA assists with identification of all potential migratory children and youth using the statewide “Parent Employment Survey” (PES) for all newly enrolling students.</p> <p>Note: This furthers the purpose under Title I-A of “coordinating services under all parts of this title with each other, with other educational services”</p> <p>ESSA Section 1001 (11)</p>	<p>Upload following documentation:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Completed redacted Parent Employment Survey samples (for migrant students and for non-migrant students). <input type="checkbox"/> Current State-approved “Parent Employment Survey” in students’ cumulative files for all newly enrolled students starting with the 2019-2020 school year. <p>For non-migrant funded districts ONLY:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Evidence that required “Parent Employment Surveys” are forwarded securely to the local Regional ID & R Coordinator within 2 weeks of receipt. (Note: required surveys are those that have a YES answer on question #2 related to Agricultural work.) 			

Monitoring Summary Meeting

- Takes place at the conclusion of the review on the assigned date for the monitoring review
- Includes LEA team members, reviewer and Idaho Department of Education staff
- Three business days to respond to the draft before the final draft is produced
- Once a Final Monitoring Summary Report is issued, the results will be final for that monitoring period.

Corrective Action Plan

- The purpose of corrective action is to develop and implement a plan for LEAs to align with statute and regulations.
- The department is required to ensure that all deficiencies identified through monitoring activities are addressed through timely and appropriate actions by the LEA. [2 CFR 200.332\(d\)\(2\)](#)

Corrective Action Plan cont.

The Corrective Action Plan, including action items and timeline, will be finalized within 30 calendar days after receipt of the Final Monitoring Summary Report. This includes time for the LEA action plan proposal and the department response to the action plan.

Additional Corrective Actions

May include the following:

- Requiring evidence of completion of action plans prior to reimbursement requests
- Requiring additional financial reports
- Requiring additional monitoring
- Requiring additional prior approvals
- Withholding payments until LEA is in compliance
- Disallowing the costs of a non-compliant activity
- Suspending or terminating the Federal award
- Withholding other Federal awards

Appeal Process

The monitoring process allows opportunities for an LEA to work collaboratively with the Idaho Department of Education prior to issuing the Final Monitoring Summary Report and Corrective Action Plan.

If an LEA wishes to dispute the Final Monitoring Summary Report or Corrective Action Plan, or if the LEA believes they were not granted the opportunity to participate fully in the monitoring process, a formal appeal can be made to the Idaho Department of Education within 1 year of the date of the Final Monitoring Summary Report. An informal hearing will be granted either virtually or in person, at the discretion of the department, to address the contents of the appeal.

Appeal Letter

An LEA that wishes to file an appeal must provide the Idaho Department of Education's Director of Federal Programs a signed letter from the LEA Board of Trustees or their representative. That letter must include:

- Name of person filing the appeal
- Name of the LEA
- Citation of the Finding in the Final Monitoring Summary Report and/or Corrective Action Plan
- Citation of the related Federal Regulation or Idaho Code
- Request for a hearing
- Desired outcome of the hearing

Appeals Hearing

- Conducted at a mutually agreed-upon date by the LEA and the department
- May be virtual or in-person
- Conducted by the Director of Federal Programs or their representative
- Once all parties have provided input, a final decision will be made by the Director of Federal Programs or their representative, which will be final
- The LEA will receive a written letter describing the decision made as a result of the hearing.

Monitoring Website

<https://www.sde.idaho.gov/federal-programs/program-monitoring/>

SFTP aka The MUT



Account: Remember me

Password:  Download App

Language: ▼

 Login

Monitoring Training Opportunities

- Thursday, September 26 Boise all day in-person. Register at <https://www.eventcreate.com/e/federal-programs-monitoring>
- Thursday, October 3 10:00 am – 11:00 am VIRTUAL Monitoring Q & A <https://idahosde.zoom.us/j/97481815176?pwd=k7iQ7ctEc0kebjeGrBJZIY3j8kvAaG.1>
- January 15, 2025 1:00 pm – 2:00 pm VIRTUAL Monitoring Q & A <https://idahosde.zoom.us/j/99701142014?pwd=Dxu9HY2YheRJEdu7h0IUcnAoeOJCG.1>

You can do this! We are here to help.





Idaho Department
of Education

Federal Programs ESEA Directors Conference 2024

Stacie Rekow

Title I-A and Federal Monitoring Coordinator

srekow@sde.idaho.gov