



2011-2012 No Child Left Behind (NCLB) Monitoring of Selected Programs

Frequently Asked Questions

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The Florida Department of Education (FDOE) monitors federally funded programs operated by Local Educational Agencies (LEAs) to fulfill its obligations under federal and state law. The purpose of monitoring is to ensure that all the legally prescribed components are in place to increase student achievement. This guidance explains the process that the FDOE will use to monitor LEAs during the 2011-2012 school year.

This document replaces the 2010-2011 NCLB Monitoring Technical Assistance Paper (TAP).

http://www.fldoe.org/NCLB/nclb_monitoring.asp

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Background

A-1. What is the legal authority for FDOE's monitoring?

The *Education Department General Administrative Regulations* (EDGAR) at 34 CFR 80.40(a) requires the FDOE to monitor subgrant activities, "to assure compliance with applicable Federal requirements and that performance goals are being achieved." Section 1008.32, Florida Statutes, addresses the responsibility of the State Board of Education for oversight and enforcement relative to compliance.

A-2. What is compliance monitoring?

Compliance monitoring ensures that programs under NCLB meet federal guidelines and are implemented with fidelity, as outlined in the project application. Monitoring looks specifically at the programmatic regulations, as well as the expenditure of funds.

A-3. What is the difference between an audit and monitoring?

Compliance monitoring and audits are closely related, but conducted by different entities. The FDOE's program staff, in conjunction with fiscal staff, conduct compliance monitoring, while the Auditor General's Office or independent auditors engaged by the LEA conduct audits. Audits are typically focused on fiscal aspects of a project and the programmatic issues closely linked to fiscal requirements, whereas monitoring activities are more focused on programmatic requirements.

There is some overlap between the two activities; however, the FDOE makes every effort to reduce as much redundancy as possible. It should also be noted that the FDOE is responsible for conducting follow-up on any findings made by the Auditor General or independent auditors, as well as any findings made by the U.S. Department of Education (ED), if the findings are the result of visits to the LEA. Results of such audits and monitoring visits are taken into consideration as part of the monitoring activities of the FDOE.

A-4. What is the relationship between technical assistance and monitoring?

The FDOE visits LEAs, schools, and classrooms and interviews instructional staff for a variety of purposes. A technical assistance visit is designed to provide support to an LEA in meeting the federal program requirements. A monitoring visit is designed primarily to determine the extent of an LEA's compliance with federal program requirements. The purposes of monitoring include: (1) reviewing information from an LEA; (2) determining the need for system improvements; and (3) providing technical assistance.

A-5. Which NCLB programs will be monitored?

This guidance refers only to the monitoring process for NCLB formula-funded (entitlement) programs, as well as selected discretionary programs. The FDOE will use the process described in this document to monitor the following programs:

- Title I, Part A, Improving the Academic Achievement of the Disadvantaged
- Title I, Part A, Public School Choice & Supplemental Educational Services

- Title I, Part C, Education of Migratory Children
- Title I, Part D, Subpart 1, State Agency Programs for Neglected and Delinquent
- Title I, Part D, Subpart 2, Local Agency Programs for Neglected and Delinquent
- Title II, Part A, Teacher and Principal Training and Recruiting
- Title III, Language Instruction for Limited English Proficient and Immigrant Students
- Title VI, Part B, Subpart 2, Rural and Low-Income
- Title X, Part C, Education for Homeless Children and Youth

A-6. Are LEAs that do not receive Title X, Part C, Education for Homeless Children and Youth subgrants required to complete the Title X, Part C monitoring work papers?

Yes. All LEAs must complete and submit the Title X, Part C monitoring work papers, regardless of whether they receive the Title X, Part C subgrant. All LEAs must meet basic requirements of Title X, Part C that pertain to homeless children, which will be monitored. There are additional compliance items for those LEAs that receive the subgrant.

A-8. What forms of monitoring does the FDOE use?

The FDOE uses many activities to monitor compliance, including the review and approval of LEA Plans and annual project applications. Each year, all LEAs are expected to conduct self-monitoring, using a set of criterion items called work papers, to assess their own level of compliance. In addition to these routine monitoring activities, the FDOE uses two types of focused monitoring activities: desktop and onsite. Compliance monitoring is conducted annually for a subset of LEAs, either by a full, onsite visit or a remote (desktop) data review with limited or no time spent onsite.

A-9. How often is each LEA or funded entity monitored?

Annually, all LEAs conduct self-monitoring. Agencies also participate in the FDOE's focused compliance monitoring on a regular cycle, every five years (see A-12), unless circumstances warrant more frequent monitoring. The FDOE reserves the right to monitor any LEA as frequently as necessary to ensure compliance with federal and state law.

A-10. Why is compliance monitoring necessary, since each LEA certifies its own compliance on an annual basis through self-monitoring?

The ED has determined that having LEAs report their own designations regarding compliance, while a valuable part of the monitoring process, is not sufficient. In addition, self-monitoring prepares LEAs for future onsite visits and possible follow-up or targeted monitoring.

A-11. How do LEAs know when they are going to be monitored and by what method?

Each year, approximately one-fifth of Florida's LEAs are monitored intensively using a comprehensive set of compliance items established by the FDOE. The FDOE publishes the five year cycle (see Appendix A) to ensure LEAs know when they are scheduled to be monitored within the next five years. Each year, LEAs scheduled for monitoring are notified of their status for onsite or desktop activities at least 30 days prior to the date that work papers and documentation are due.

A-12. Where can I find a list of LEAs to be monitored each year?

A five-year cycle is available in Appendix A of this document and on the monitoring website (http://www.fldoe.org/NCLB/nclb_monitoring.asp). This list was developed to ensure that each LEA or funded entity is monitored at least once every five years; however, the FDOE reserves the right to monitor LEAs as frequently as necessary to ensure compliance. The LEAs were grouped together based on population size, to get a good sampling among large, medium, and small districts, but also by location, in an effort to be as efficient as possible.

A-13. How are LEAs selected for desktop monitoring or onsite visits?

The FDOE uses a “risk-based” system of monitoring. This allows the FDOE to select LEAs from the list for desktop monitoring or onsite visits (see Appendix A) based on the FDOE’s review of achievement data, Adequate Yearly Progress (AYP) indicators, highly qualified teachers, Annual Measurable Achievement Objectives (AMAOs), safety indicators, financial indicators, and results of audits conducted by the Auditor General’s Office or other independent auditors. Should the FDOE determine that an LEA, not scheduled for monitoring in the current year, has consistently failed to reach compliance, the LEA may be monitored for that year.

Work Papers

B-1. What is the purpose of the work papers?

The work papers are a set of compliance items for each of the programs listed in A-5. They serve as an opportunity for each LEA to review its own compliance. In years when the LEA is not expected to participate in formal FDOE compliance monitoring, the work papers give LEAs an opportunity to review the alignment of their practices and policies with federal and state requirements. The Work Paper Common Elements can be found in Appendix B.

B-2. Which LEAs should complete the work papers?

All LEAs are expected to complete the work papers. They should go into the monitoring system and indicate whether all requirements are met, further action is required, or the item is not applicable (NA) for each compliance item. Only those scheduled for desktop or onsite monitoring should submit a complete set of work papers by answering the questions and uploading all the applicable supporting documentation to the FDOE system. The LEAs conducting only self-monitoring may be required to upload some documentation for a few of the programs monitored. A list of all required documents for self-monitoring LEAs will be on the monitoring website (http://www.fldoe.org/NCLB/nclb_monitoring.asp) and in the instructions within the online system (<https://app1.fldoe.org/bsa/grantsmonitoring/>). Regardless of monitoring status, it is important that all LEAs maintain complete documentation should it be requested by the ED or the FDOE.

B-3. Does an LEA have to complete work papers for all federal programs?

Yes. An LEA needs to complete work papers for the programs under which it receives funding. In addition, all LEAs must complete the work papers for Title X, Part C, Education for Homeless Children and Youth. There are basic requirements that apply to all LEAs even if an LEA does not receive funding under Title X, Part C Education for Homeless Children and Youth; therefore,

compliance will be monitored. There are additional compliance items for those LEAs that receive the Title X, Part C subgrant.

B-4. Is the LEA expected to determine whether it is in compliance with each item?

Yes. For each compliance item, the LEA is expected to determine whether it has met all requirements or if further action is required. For “Further Action Required” status, a System Improvement Plan must be developed and submitted. By submitting the Self-Evaluation Certification, the LEA indicates that it considers itself in compliance or in need of further action and will correct any problem areas during the upcoming year.

Note: If items are not brought into compliance (Requirements Met) in the previous monitoring cycle, they should carry over to the new monitoring cycle. Submitting approvable evidence of System Improvement Plan implementation brings items requiring further action into full compliance (see D-9).

B-5. Are the work papers available online?

Yes. The Microsoft Word versions of the work papers are available at http://www.fldoe.org/NCLB/nclb_monitoring.asp and within the monitoring system (<https://app1.fldoe.org/bsa/grantsmonitoring/>). While these can be used as working documents, the online work papers, along with the upload of documents for each program, must be completed in the online monitoring system; none of these components are acceptable via email or through mail services (USPS, FedEx, etc.).

B-6. How is the online system organized?

The online system has several different sections within each NCLB Title Program. They are:

Common Elements – Staff from the FDOE, in conjunction with LEA representatives, identified the Common Elements associated with specific requirements related to each program. A complete list of the Common Elements can be found in Appendix B. These are used to organize Compliance Items.

Compliance Statements – The work papers include compliance statements, which indicate specific requirements of NCLB and Florida Statutes relating to the program being monitored. The compliance statements also provide reference to the relevant legislative citation. They are organized by Common Element (Example: all AIA items are Needs Assessment and Program Planning for Title I, Part A).

Review Questions – The Review Questions help an LEA determine its compliance status. To successfully prepare for the monitoring activities, all LEAs should answer each question thoroughly and succinctly, regardless of whether they are required to submit the answers in the online system.

Documents to Support Compliance – All LEAs are responsible for uploading documentation, as specified by each program, to verify their compliance status and the

answers to the Review Questions. Self-monitoring LEAs will provide uploads for selected items; desktop and onsite LEAs will upload for all applicable items.

Compliance Designations (LEA) – For each compliance item, the LEA should select one of the designations regarding compliance (see B-8): Requirements Met, Further Action Required, and Not Applicable.

B-7. Do all Review Questions have to be answered?

The Review Questions should be answered as a means of determining compliance. All LEAs should answer the questions for all applicable items; however, only desktop and onsite LEAs will be required to submit the answers in the online system. Self-monitoring LEAs should maintain their answers at the district office.

B-8. What do the various designations regarding compliance mean?

The various designations and their definitions are:

Requirements Met – The LEA has evidence either in the online system (desktop/onsite) or maintained onsite (self-monitoring) to document full compliance with the requirement.

Further Action Required – All or part of the requirement is not documented as in compliance, and a System Improvement Plan should be developed for every compliance item where further action is required.

Not Applicable – The requirement is not applicable to the LEA being monitored. If “Not Applicable” is checked, the LEA should explain in the comment box why the requirement is not applicable. (For example, an LEA with only Title I, Part A schoolwide programs would indicate that the items regarding targeted assistance programs are not applicable.)

B-9. What school year is the focus of the 2011-2012 work papers?

The focus of the monitoring review for the 2011-2012 monitoring cycle is program implementation for the most current year available. The FDOE monitors will review data from 2011-2012 school year or, if data are not yet available, the 2010-2011 school year. The FDOE reserves the right to request documentation from prior years.

B-10. Who can answer specific questions about the content of the work papers?

Appendix C of this document contains a list of FDOE program contacts. If there are specific questions about the content, e.g. what documentation is appropriate for a specific criterion, please contact the person or office listed.

B-11. Do all LEAs have to submit a complete set of work papers?

All LEAs need to log in to the online system and indicate their level of compliance for each item*. Only LEAs being monitored by FDOE through onsite or desktop activities need to submit a

complete set of work papers, including answers to all applicable questions and all applicable documents uploaded.

**Submissions via the online system are the only acceptable format. Hard copy submissions of the work papers will not be accepted, unless there are extenuating circumstances.*

B-12. When are the work papers due?

For the 2011-2012 monitoring cycle, the Self-Evaluation Certifications (desktop/onsite LEAs are exempt from this requirement), work papers, and supporting documentation are due October 14, 2011.

B-13. How does an LEA submit its work papers?

An LEA will complete work papers in the online system, found at:

http://www.fldoe.org/NCLB/nclb_monitoring.asp. Once the work papers have been submitted for all programs being evaluated, self-monitoring LEAs will be able to generate a Self-Evaluation Certification in the online system. The form can be printed out and signed by the superintendent (or designee) or signed via electronic signature. This signed document should then be sent electronically to nclb@fldoe.org. It should be noted that by signing this form, the superintendent assures that the work papers are complete and accurate (see Appendix D for a sample form). Desktop and onsite LEAs are required to submit a complete set of work papers, but are not required to submit a Self-Evaluation Certification. Rather, formal reports will be generated following the FDOE review.

B-14. How does the FDOE use the work papers?

The FDOE uses the work papers for a variety of purposes. First, they are an assurance that LEAs, as subgrantees, are in compliance with federal and state laws. The LEAs identify areas in which they are not compliant; the FDOE can then focus technical assistance on those areas most frequently found out of compliance. Work papers also allow the FDOE to identify LEAs' best practices. As part of the onsite and desktop monitoring processes, the monitoring team reviews the work papers prior to the actual week of monitoring to help them prepare and to minimize LEAs' workload at the time of the reviews.

B-15. Is there anything else that should be submitted to support the work papers?

Yes. An LEA being monitored through desktop or onsite activities should upload documentation following the submission of the work papers. Documentation is also due on October 14, 2011. Self-monitoring LEAs may also be required to upload some documentation to support compliance in certain areas. A list of these items can be found on the NCLB Monitoring website (http://www.fldoe.org/NCLB/nclb_monitoring.asp) and the instructions in the online system (<https://app1.fldoe.org/bsa/grantsmonitoring/login.aspx>).

B-16. What documentation is an LEA required to upload?

An LEA monitored through desktop or onsite reviews will be required to upload documentation for all applicable compliance items in the work papers. The Documents to Support Compliance section of the work papers lists suggested and required documentation for each item. For

further assistance in determining what meets the requirements for full compliance please contact the appropriate program office.

B-17. How does the FDOE use the documentation?

The documentation is used to determine if program requirements are met for each compliance item or area monitored. Documentation is reviewed by FDOE program staff prior to the desktop or onsite reviews. Additional documentation may be requested prior to and during monitoring activities, or, in special cases, after reconsideration.

Monitoring Process

C-1. What is involved during the desktop monitoring activities?

During the desktop monitoring process, a team from the FDOE representing the range of federal programs in the LEA will review the work papers and documentation provided to FDOE prior to the desktop review, requesting additional documentation as needed. Monitoring begins with an optional entrance interview, via conference call, between the FDOE and LEA personnel during which the scope of desktop monitoring will be explained. During the monitoring process, the FDOE may request phone conference calls with a range of LEA personnel. Members of the FDOE team will work with the LEA Liaison to establish a schedule that covers all necessary activities before the monitoring review takes place. Every effort will be made to coordinate phone interviews with the schedule of LEA personnel. The LEA will have an additional five working days following the monitoring week to upload any final requests for documentation. The process ends with an exit interview, via conference call, to discuss areas of concern and timelines for reports. In some cases, the FDOE may wish to follow-up with an onsite visit to interview additional LEA personnel or review additional documents.

C-2. How long does the desktop monitoring process take?

Desktop monitoring is designed to take place within one continuous work week and is planned in cooperation with LEA personnel.

C-3. How should an LEA prepare for desktop monitoring?

The FDOE requests that each LEA select a single point-of-contact to coordinate the monitoring components. On or before August 19, 2011, the superintendent (or designee) should designate an LEA Liaison; the password will be released to the LEA Liaison. By October 14, 2011, the LEA should complete the work papers online, by answering the Review Questions and uploading all Documents to Support Compliance into the online system (<https://app1.fldoe.org/bsa/grantsmonitoring/>). Each LEA should review all questions in the work papers prior to the visit and be prepared to answer additional questions during the interviews. Personnel who can address these questions should be available during the monitoring process. Each LEA to be monitored will receive specific correspondence from FDOE regarding monitoring requirements.

C-4. Are non-FDOE personnel involved in desktop monitoring?

No.

C-5. Who participates in the desktop monitoring process?

The FDOE team will coordinate each phone call with the LEA Liaison. In general, the following individuals should be available during desktop monitoring:

LEA Staff

- Superintendent (or Designee)
- NCLB/Federal Program Coordinators
- Finance Officer
- Assessment Coordinator
- Management Information Systems (MIS) Coordinator
- Curriculum Coordinator
- Exceptional Student Education Coordinator
- Certification Coordinator
- Staff Development Coordinator
- Student Services Director
- Other staff as needed

C-6. What does an onsite monitoring visit involve?

During an onsite monitoring visit, a team from the FDOE will visit the LEA. Members of the team represent the range of federal programs in the LEA. Prior to the visit, the FDOE team will review all components of the completed online work papers, requesting additional documentation as needed. The visit begins with an optional entrance interview, via conference call, with members of the FDOE team and LEA personnel during which the scope of the visit will be explained. While onsite, the FDOE team will interview but is not limited to interviewing LEA personnel, parents, public and private school personnel, vendors, and any additional personnel that may be needed to take an accurate assessment of program implementation.

In addition, the monitoring team will visit schools and other facilities, observing classrooms and project activities. Members of the FDOE team will work with the LEA Liaison to establish a schedule that covers all necessary activities before the monitoring review takes place. Every effort will be made to coordinate interviews with the schedule of all interviewees. The FDOE team reserves the right to request additional documentation that may or may not be listed in the work papers in order to fully prove compliance. The LEA will have an additional five working days following the monitoring week to upload any final requests for documentation. The visit ends with an exit interview to discuss areas of concern and timelines for reports.

C-7. How long is the FDOE team in the LEA during an onsite visit?

Onsite monitoring visits are designed to take place within one continuous work week whenever possible, and planned in cooperation with LEA personnel.

C-8. How should an LEA prepare for an onsite visit?

The FDOE requests that each LEA select a single point-of-contact to coordinate the visit. The superintendent (or designee) should designate an LEA Liaison on or before August 19, 2011; the online monitoring system password will be released to the LEA Liaison. By October 14, 2011,

the LEA should complete the online work papers, by answering the Review Questions and uploading all applicable Documents to Support Compliance into the online system (<https://app1.fldoe.org/bsa/grantsmonitoring>). School-level, paper copies of documents should be readily available in a central location during the site visit. The LEA should carefully review the questions in the work papers and make personnel available who can address these questions. Each LEA to be monitored will receive specific correspondence from FDOE regarding the visit and requirements.

C-9. Are non-FDOE personnel involved in an onsite monitoring visit?

Sometimes. The FDOE may train and make limited use of staff from other LEAs or programs as peer monitors.

C-10. What LEA personnel participate in the onsite visit?

The FDOE team will coordinate each interview with the LEA Liaison. Schools and facilities to be visited will be determined during the development of the schedule. In general, the following individuals may be involved in interviews during the monitoring week and should be prepared to participate:

LEA Staff

- Superintendent (or Designee)
- NCLB/Federal Program Coordinators
- Finance Officer
- Assessment Coordinator
- Management Information Systems (MIS) Coordinator
- Curriculum Coordinator
- Exceptional Student Education Coordinator
- Certification Coordinator
- Staff Development Coordinator
- Student Services Director
- Other staff as needed

School Staff

- Principal (or Designee)
- Instructional Staff
- Paraprofessionals
- Guidance Personnel
- School Resource Officer

Others

- Representatives from private schools receiving services through NCLB Programs
- Parents

Reporting and Follow-up

D-1. What can an LEA expect after desktop or onsite monitoring?

After the end of a desktop or onsite monitoring review, the FDOE team will assemble a preliminary monitoring report. The preliminary report, which must undergo several levels of FDOE review, will be sent via email to the superintendent and LEA Liaison within 30 working days of the exit interview. The preliminary report will identify areas where the LEA met requirements or where further action is required, as well as any recommendations. The preliminary report will also indicate the items for which System Improvement Plans should be developed and any required fiscal adjustments.

D-2. May an LEA appeal findings of further action required?

Yes. The LEA may request reconsideration (an appeal) of the findings within 10 working days of receiving the preliminary report if there is a factual error. The request should contain an explanation for the request, based on evidence submitted prior to the close of business on the fifth day after the monitoring review (desktop or onsite). The explanation and the documents will be reviewed again to make a final determination of findings.

D-3. How does an LEA submit a request for reconsideration?

If an LEA has determined there is a factual error in the report, the LEA should put its request in writing and send it to the Office of Federal Programs (nclb@fldoe.org or 325 W. Gaines St, Suite 644, Tallahassee, Florida 32399-0400). The request should include a clear and concise explanation of what the error is, with specific references to documentation uploaded into the system.

***Note:** Additional documentation should not be included in the reconsideration request.*

However, the FDOE reserves the right to request additional documentation should it be needed for clarification.

D-4. What should an LEA do after it receives a report identifying one or more areas not in compliance and, therefore, requiring further action?

If the LEA does not ask for a reconsideration of findings, it should develop and submit a System Improvement Plan for each compliance item where further action is required in the online system (http://www.fldoe.org/NCLB/nclb_monitoring.asp) within 10 working days after the receipt of the report. Each System Improvement Plan acknowledges that the finding is accurate and outlines steps to correct the finding. A System Improvement Plan template, instructions, and completed samples are found in Appendix E. A Microsoft Word version of the template can be requested by sending an email to nclb@fldoe.org. If the LEA requests reconsideration and the appeal is denied, the System Improvement Plans are due within 10 working days of the notice.

D-5. What should be included in the System Improvement Plans?

System Improvement Plans should provide the specific steps the LEA will take to come into compliance, including anticipated timelines, and what the LEA hopes to achieve by

implementing the plan. These serve as a comprehensive “plan of action,” outlining the key components of necessary system improvements that will ensure future compliance with federal requirements. Sample System Improvement Plans for several programs can be found in Appendix E.

D-6. When are System Improvement Plans due?

For LEAs not being monitored through desktop or onsite activities, System Improvement Plan(s) are due with the Self-Evaluation Certification on October 14, 2011. System Improvement Plans developed by LEAs being monitored through desktop or onsite activities are due within 10 working days of the receipt of the preliminary report or the response to any requests for reconsideration.

D-7. How should System Improvement Plans be submitted?

System Improvement Plans should be submitted through the online system found on the NCLB monitoring website (http://www.fldoe.org/NCLB/nclb_monitoring.asp). For further information about the steps to submitting a System Improvement Plan, please refer to the Technical Assistance Manual (<http://www.fldoe.org/NCLB/ppts/pdfs/leamontadoc.pdf>).

D-8. Does the FDOE check to see if the findings have been addressed?

Yes. Evidence that each System Improvement Plan has been implemented can be submitted to the FDOE any time during the year, but should be provided no later than the date Self-Evaluation Certifications are due for the following year. This evidence should be uploaded into the online monitoring system (http://www.fldoe.org/NCLB/nclb_monitoring.asp). Based on the gravity of the findings, the FDOE may establish additional reporting schedules that may, at the FDOE’s discretion, involve follow-up visits to the LEA to verify the findings have been corrected.

D-9. What are the consequences if an LEA does not address monitoring findings?

The FDOE has a responsibility to the ED to ensure that its subgrantees are in full compliance with federal law and to the Florida State Legislature to ensure that sub-grantees are in full compliance with state law. The FDOE reserves the right to withhold funding to, and to implement more restrictive conditions for, subgrant recipients deemed as not implementing federal and state programs with fidelity, as determined through the monitoring process.

D-10. How can an LEA document that it has corrected a finding identified through monitoring?

An LEA documents that findings have been corrected by providing evidence that the System Improvement Plan has been implemented. Evidence of plan implementation should be uploaded into the online monitoring system found at http://www.fldoe.org/NCLB/nclb_monitoring.asp. Along with the documentation, LEAs should give a brief but thorough description of the evidence provided. This description will allow FDOE staff to better align evidence of implementation with the approved System Improvement Plan.

D-11. When is evidence that a 2010-2011 System Improvement Plan has been implemented due?

The date that the implementation of each System Improvement Plan should to be completed is established at the time the plan is developed by the LEA and approved by FDOE program staff (Anticipated Date of Completion). If not completed earlier, all System Improvement Plans should be implemented and evidence provided no later than the due date established for the 2011-2012 work papers and documentation, October 14, 2011. Should an action not be fully completed by the final due date, the item will remain in "Further Action Required" status until it can be completed, which should be indicated in the new cycle's work papers, and a new System Improvement Plan should be submitted. The LEA should keep FDOE program staff apprised of the situation. See D-8 for the consequences of not addressing monitoring findings.

D-12. Is there a final report?

Yes. A final report will be issued after the FDOE has received and approved all System Improvement Plans, which should be submitted within 10 working days of the receipt of the preliminary report or the results from the reconsideration requests. Should the LEA fail to submit System Improvement Plan(s) in an acceptable form within 20 working days, the final report will be issued, indicating that the LEA has failed to address the monitoring findings. See D-8 for the consequences of not addressing monitoring findings. Final reports will also include any changes made as a result of FDOE's response(s) to the reconsideration request. All final reports are considered public records and will be available for public review, consistent with Florida's *Government in the Sunshine* laws and rules, at <https://app1.fldoe.org/bsa/grantsmonitoringSearch/default.aspx>.

Appendix A

LEA Compliance Monitoring Schedule

Five Year Monitoring Schedule for 2009-2014

2009-2010	2010-2011	2011-2012	2012-2013	2013-2014
Bay	Escambia	Columbia	Wakulla	UF Lab School
Gadsden	Santa Rosa	Baker	Hillsborough	Dade
Putnam	Nassau	Lake	Pinellas	Pasco
Jefferson	Duval	Orange	Gilchrist	Union
Hamilton	Volusia	Sarasota	Charlotte	Bradford
Manatee	Seminole	Desoto	Liberty	Holmes
Hardee	Martin	St. Johns	Franklin	Calhoun
Highlands	St. Lucie	FSDB	FAU Lab	Citrus
Polk	Palm Beach	FSU Lab	Levy	Hernando
Gulf	Osceola	FAMU Lab	Marion	Monroe
Jackson	Okeechobee	Broward	Clay	Collier
Taylor	Madison	Glades	Indian River	Lee
Brevard	Suwannee	DOC	Flagler	Alachua
Leon	North Florida Youth	Okaloosa		Lafayette
	Development Center	Walton		Dixie
	Okeechobee Boys School	Hendry		Sumter
	Washington			

Appendix B

Work Papers – Common Elements

(A) Needs Assessments and Program Planning
(B) Activities
(C) Coordination of Programs
(D) Private School Consultation
(E) Support for Reading/Strategic Imperatives
(F) School Improvement
(G) Dissemination/Marketing
(H) Reporting Outcomes
(I) Programmatic Use of Funds
(J) Budget
(K) Parental Involvement
(L) Highly Qualified Staff
(M) Others as Necessary

Appendix C

Work Papers – Contact Information

Program	Contact Information
Title I, Part A, Improving the Academic Achievement of the Disadvantaged	Tammy McGriff (850) 245-0689 Tammy.McGriff@fldoe.org
Title I, Part A, Public School Choice & Supplemental Educational Services	Melvin Herring (850) 245-0684 Melvin.Herring@fldoe.org
Title I, Part C, Education of Migratory Children	Carol Gagliano (850) 245-0693 Carol.Gagliano@fldoe.org
Title I, Part D Subparts 1 and 2, State and Local Programs for Neglected and Delinquent	Melvin Herring (850) 245-0684 Melvin.Herring@fldoe.org
Title II, Part A, Teacher and Principal Training and Recruiting Fund	Peggy Primicerio (850) 245-0734 Peggy.Primicerio@fldoe.org
Title III, Language Instruction for Limited English Proficient and Immigrant Students	Lori Rodriguez (850) 245-0417 Lori.Rodriguez@fldoe.org
Title VI, Part B, Subpart 2, Rural and Low Income	Jessie Simmons (850) 245-0682 Jessie.Simmons@fldoe.org
Title X, Part C, Education for Homeless Children and Youth	Lorraine Allen (850) 245-0668 Lorraine.Allen@fldoe.org

Appendix D

Self – Evaluation Certification

2011-2012 No Child Left Behind and Selected Florida Statutes Monitoring Self-Evaluation Certification

Local Education Agency:

Programs Self-Evaluated, Contact Information, and Outcomes

Program	Compliance Status	Program Contact Information
Title I, Part A, Improving the Academic Achievement of the Disadvantaged	Requirements Met Compliance Item(s):	<i>This box will be populated with the contact information submitted in the online work papers.</i>
	Further Action Required (System Improvement Plan Required) Compliance Item(s):	
	Not Applicable* Compliance Item(s):	
Title I Part A, Public School Choice & Supplemental Educational Services	Requirements Met Compliance Item(s):	<i>This box will be populated with the contact information submitted in the online work papers.</i>
	Further Action Required (System Improvement Plan Required) Compliance Item(s):	
	Not Applicable* Compliance Item(s):	
Title I, Part C, Education of Migratory Children	Requirements Met Compliance Item(s):	<i>This box will be populated with the contact information submitted in the online work papers.</i>
	Further Action Required (System Improvement Plan Required) Compliance Item(s):	
	Not Applicable* Compliance Item(s):	
Title I, Part D, Subpart 1, State Programs for Neglected and Delinquent	Requirements Met Compliance Item(s):	<i>This box will be populated with the contact information submitted in the online work papers.</i>
	Further Action Required (System Improvement Plan Required) Compliance Item(s):	
	Not Applicable* Compliance Item(s):	
Title I, Part D, Subpart 2, Local Programs for Neglected and Delinquent	Requirements Met Compliance Item(s):	<i>This box will be populated with the contact information submitted in the online work papers.</i>
	Further Action Required (System Improvement Plan Required) Compliance Item(s):	
	Not Applicable* Compliance Item(s):	

Title II, Part A, Teacher and Principal Training and Recruiting Fund	Requirements Met Compliance Item(s):	<i>This box will be populated with the contact information submitted in the online work papers.</i>
	Further Action Required (System Improvement Plan Required) Compliance Item(s):	
	Not Applicable* Compliance Item(s):	
Title III, Language Instruction for Limited English Proficient and Immigrant Students	Requirements Met Compliance Item(s):	<i>This box will be populated with the contact information submitted in the online work papers.</i>
	Further Action Required (System Improvement Plan Required) Compliance Item(s):	
	Not Applicable* Compliance Item(s):	
Title VI, Part B, Subpart 2, Rural and Low Income	Requirements Met Compliance Item(s):	<i>This box will be populated with the contact information submitted in the online work papers.</i>
	Further Action Required (System Improvement Plan Required) Compliance Item(s):	
	Not Applicable* Compliance Item(s):	
Title X, Part C, Education for Homeless Children and Youth	Requirements Met Compliance Item(s):	<i>This box will be populated with the contact information submitted in the online work papers.</i>
	Further Action Required (System Improvement Plan Required) Compliance Item(s):	
	Not Applicable* Compliance Item(s):	

***If not applicable because the LEA does not participate in this program, please indicate this.**

I, _____ (Type or Print Name of Superintendent) do hereby certify that all facts, figures, and representations reported herein are true, correct, and consistent with the requirements set forth in the No Child Left Behind Act and cited sections of the Florida Statutes. Furthermore, all applicable statutes, regulations, procedures, and administrative requirements have been implemented to ensure proper accountability for the expenditures of funds. All records necessary to substantiate these requirements will be available for review by appropriate federal and state personnel.

Signature of Superintendent

Date

Submit this form with original signature and any required System Improvement Plan to:

nclb@fldoe.org

OR

**Florida Department of Education
Office of Federal Programs
Division of Public Schools
325 West Gaines Street, Suite 644
Tallahassee, FL 32399**

Appendix E System Improvement Plan Template, Instructions, and Samples

No Child Left Behind (NCLB) Monitoring of Local Education Agency (LEA) Programs

System Improvement Plan for 2010-2011

___ Self ___ Desktop ___ Onsite

LEA:		Date Prepared:
Name of Program:		
Criterion:		
Finding(s):		
Objective:		
Evidence of Improvement:		
Anticipated Date of Completion:		
Person(s) Responsible for Implementation of Plan:		
Actions to be Taken	Person(s) Responsible	Timelines

Instructions

General: This table is a template of what is generated once all the fields are completed in the online system.

LEA and Date Prepared: The name of the LEA and the date the plan was prepared are **automatically filled** by the system.

Name of Program: The name of the program for which this plan was prepared (e.g., Title II, Part A – Teacher and Principal Training and Recruiting) is **automatically filled** by the online system.

Criterion: This is the compliance item being addressed by the plan. Using the numbers and text from the work papers, it is **automatically filled** by the online system.

Finding(s): These are the LEA’s finding(s) which require the System Improvement Plan. For example, “The LEA should provide private schools with an opportunity for equitable participation.” The finding(s) are **automatically filled** by the online system.

Objective: Explain what the LEA hopes to achieve by implementing the System Improvement Plan. The objective should effectively address each finding listed.

Evidence of Improvement: Specify how the LEA will measure the improvement resulting from implementation of the plan, including the documentation that will support successful implementation. Once the plan is implemented, the evidence specified here should be uploaded to the online system.

Anticipated Date of Completion: Specify the date by which the LEA is committed to successfully achieving the objective (Format: MMDDYYYY). Following this date, the LEA should be able to upload evidence of implementation.

Person(s) Responsible for Implementation of Plan: Specify by name, title, telephone number, and email address of each LEA representative who will be responsible for implementation of the plan.

Actions to be Taken, Person(s) Responsible, Timelines:

The **Actions** need to be specific and directly related to achievement of the objective.

Highlight each **Person** responsible for the corresponding **Action**.

Timelines should be specified as a beginning date and a completion date (month and year). The completion date in these timelines cannot exceed the Anticipated Date of Completion (above)

No Child Left Behind (NCLB) Monitoring of Local Education Agency (LEA) Programs System Improvement Plan for 2010-2011

Onsite Desktop Self-Monitoring

LEA: Sunshine School District **Date Prepared:** 2/15/2011

Name of Program: Title I, Part A, Improving the Academic Achievement of the Disadvantaged

Criterion: KIA-8: The Local Educational Agency (LEA) shall:

- conduct with parents an annual evaluation of the content of the LEA's parental involvement policy/plan and its effectiveness in improving the academic quality of schools funded under this part;
- identify barriers to greater participation by parents in authorized activities;
- use evaluation findings to design more effective strategies; and
- revise the parental involvement policy/plan, if necessary.

Finding: KIA-8: The LEA should: provide evidence that the annual evaluation of its parental involvement policy/plan is designed to ensure that such an evaluation will identify barriers to greater participation.

Objective: The LEA will ensure that the annual evaluation of its parent involvement plan is designed to ensure that barriers are identified to prevent greater participation.

Evidence of Improvement: Results from the Title I Annual Parent Survey that evaluates the effectiveness of the Parent Involvement Plan will reflect the identification of barriers that prevent greater participation.

Anticipated Date of Completion: August 31, 2011

Contact Information for Person(s) Responsible for Implementation of Plan: John Q. Public, Title I Coordinator, 123-456-7890, john.public@sunshine.edu; Suzanne Grants, Title I Parental Involvement Coordinator, 123-456-7891, suzanne.grants@sunshine.edu

Action to be Taken	Person(s) Responsible	Timelines
Design the annual Title I Parent Survey that evaluates the written Parent Involvement Plan to include the identification of barriers that prevent greater participation.	John Q. Public Suzanne Grants	Jan 2011 - May 2011
Administer the evaluation to parents of Title I schools	John Q. Public Suzanne Grants	May 2011 - May 2011
Collect completed surveys and compile results.	John Q. Public Suzanne Grants	May 2011 - Jun 2011
Use findings to design more effective strategies for reducing barriers to participation.	John Q. Public Suzanne Grants	Jun 2011 - Aug 2011

No Child Left Behind (NCLB) Monitoring of Local Education Agency (LEA) Programs System Improvement Plan for 2010-2011

Onsite Desktop Self-Monitoring

LEA: Sunshine School District **Date Prepared:** 9/24/2010

Name of Program: Title I, Part A, Public School Choice (PSC) and Supplemental Educational Services (SES)

Criterion: FIAC-1: For Title I schools identified as in need of improvement for two or more consecutive years, corrective action, or restructuring, the Local Educational Agency (LEA) shall, no later than 14 calendar days prior to the start of the school year, provide the parents of each student enrolled in the school with the following information:

- the school's status and what the identification means;
- how the school compares in terms of academic achievement to other public schools in the LEA;
- the reason(s) for the identification;
- what the school and LEA are doing to address the academic problem(s) and how parents can help; and
- options for public school choice, including transferring to another public school and SES, as applicable.

Finding: FIAC-1: The LEA should: notify parents of their option to participate in public school choice no later than 14 calendar days prior to the start of the school year.; notify parents of the status of their child's school no later than 14 calendar days prior to the start of the school year.

Objective: 1. The LEA will notify all parents of their option to participate in Public School Choice based on SINI 2 status no later than 14 Calendar days prior to the start of the school year provided AYP results are released on time. 2. The LEA will notify parents of the SINI status of their child's school no later than 14 calendar days prior to the start of the school year, provided AYP results are released on time.

Evidence of Improvement: The LEA will document that parents were notified of their option to participate in school choice, as well as notifying parents of the SINI status of their child's school no later than 14 calendar days prior to the start of the school year by mailing letters immediately upon receiving AYP and School Grade reports. We will require a delivery receipt from the printer. In addition, the LEA will include ourselves in the mailing and keep the letters received as evidence of successful implementation.

Anticipated Date of Completion: 8/15/2011

Contact Information for Person(s) Responsible for Implementation of Plan: Suzanne Grants, Title I Coordinator, (123) 456-7891, suzanne.grants@sunshine.edu

Action to be Taken	Person(s) Responsible	Timelines
Notify all parents of the SINI status of their child's school, as well as the option to participate in public school choice based on their child's school's SINI 2 status no later 14 days prior to the start of the school year.	Suzanne Grants	Sep 2010-Aug 2011
Follow a written procedure for ordering and verifying delivery date of print jobs and mailings.	Suzanne Grants	Sep 2010-Aug 2011
Receive written verification of agreed upon completion date from printer.	Suzanne Grants	Sep 2010-Aug 2011
Include ourselves in the mailing to verify that we receive the documents by the scheduled delivery date.	Suzanne Grants	Sep 2010-Aug 2011
Require a delivery receipt from printer to verify completion of the job.	Suzanne Grants	Sep 2010-Aug 2011

No Child Left Behind (NCLB) Monitoring of Local Education Agency (LEA) Programs System Improvement Plan for 2010-2011

Onsite Desktop Self-Monitoring

LEA: Sunshine School District **Date Prepared:** 2/3/2011

Name of Program: Title I, Part C, Education of Migratory Children

Criterion: HIC-1: The Local Educational Agency (LEA) shall evaluate the project according to specific measurable goals and outcomes and use the results of the evaluation to improve the design of the program and delivery of service.

Finding: HIC-1: The LEA should: provide at least one sample of surveys from a parent, MEP personnel, and other stakeholders.

Objective: Establish an annual schedule, process, and method to survey migrant parents and students as a component of the MEP evaluation to improve the design of the program and delivery of service.

Evidence of Improvement: The LEA will share survey results with MPAC members in order to develop and implement desired and necessary programs.

Anticipated Date of Completion: 4/30/2011

Contact Information for Person(s) Responsible for Implementation of Plan: John Q. Public, Coordinator, (123) 456-7890, john.public@sunshine.edu

Action to be Taken	Person(s) Responsible	Timelines
The LEA will identify and/or develop and provide as evidence a parent and student survey designed to gather input in the development, implementation and evaluation of the Migrant Education Program (MEP).	John Q. Public	Jan 2011-Apr 2011
The LEA will randomly select migrant students and parents to participate in surveys.	John Q. Public	Jan 2011-Apr 2011

No Child Left Behind (NCLB) Monitoring of Local Education Agency (LEA) Programs System Improvement Plan for 2010-2011

Onsite Desktop Self-Monitoring

LEA: Sunshine School District **Date Prepared:** 2/8/2011

Name of Program: Title I, Part D, Subpart 2, Local Programs for Neglected and Delinquent

Criterion: AID2-3: Any Local Educational Agency (LEA) that receives funds under this subpart shall ensure that formal agreements or contracts with correctional facilities comply with all elements in section 1425 of the NCLB law.

Finding: AID2-3: The LEA should: ensure that formal agreements or contracts with correctional facilities comply with all elements in section 1425 of the NCLB law.

Objective: By January of the 2010-2011 school year the LEA will have added the eleven elements of section 1425 of NCLB to the cooperative agreement between the LEA and the Department of Juvenile Justice.

Evidence of Improvement: Upload of amended document to FDOE

Anticipated Date of Completion: 2/8/2011

Contact Information for Person(s) Responsible for Implementation of Plan: John Q. Public, Federal Programs Coordinator, 123-456-7890, john.public@sunshine.edu; Suzanne Grants, Director, 123-456-7891, susanne.grants@sunshine.edu

Action to be Taken	Person(s) Responsible	Timelines
Amend the cooperative agreement between the LEA and the Department of Juvenile Justice by adding the 11 elements of section 1425.	Suzanne Grants	Nov 2010-Nov 2010
Schedule to appear on the Board Meeting Agenda in January.	John Q. Public	Dec 2010-Dec 2010
Attend board meeting for approval of the cooperative agreement.	John Q. Public Suzanne Grants	Jan 2011-Jan 2011
Send Document to FDOE	Suzanne Grants	Feb 2011-Feb 2011