# Virginia Department of EducationFederal Program Monitoring for Title IV, Part A

# Student Support and Academic Enrichment Grant

**2022-2023 Protocol**

# Virginia Department of EducationFederal Program Monitoring for Title IV, Part A

## Review of Previous Monitoring

### 1.1: The LEA has implemented necessary actions as a result of prior federal program monitoring for Title IV, Part A.

#### Guiding Questions

* **When did the LEA last undergo federal monitoring for Title IV, Part A?**
* **Did the LEA receive any findings? If so, identify the findings.**
* **Were all action steps from corrective action plans implemented and maintained?**

#### Acceptable Evidence

* Feedback letters
* Corrective action plan

*(Note: Supporting evidence may also be provided under corresponding indicator(s) within the rest of the protocol.)*

#### Local Agency Response

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#### Sufficient Documentation

Yes ☐ No ☐ N/A☐

## LEA Program Application

### 2.1: The SEA ensures that the LEA complies with the provision for submitting an annual application to the SEA and revising the LEA application as necessary to reflect programmatic or fiscal changes.

#### Guiding Question

##### 2.1a What is the LEA’s process for review and approval of the local application?

#### Acceptable Evidence

* List of LEA staff involved in the data collection for each of the Title IV, Part A, priority areas (well-rounded education, safe and healthy students, and the effective use of technology)
* List of LEA staff involved in interpreting the data and identifying needs
* List of staff engaged in the discussion about setting priorities and deciding how to address needs
* All meeting minutes for groups referenced above

#### Interview Questions

* Staff describes the timeline and process used to develop the LEA application.
* Staff describes how the LEA determines how funds are distributed between categories.

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#### Sufficient Documentation

Yes ☐ No ☐ N/A ☐

#### Guiding Question

##### 2.1b Has the LEA submitted revisions, amendments, and budget transfers to the application, if so, what is the process?

###### Acceptable Evidence

* Evidence is accessible by department of education staff (Application revisions and/or amendments). No LEA submission is needed.

###### Interview Question

Staff describes how revisions, amendments, and budget transfers are submitted in OMEGA in a timely manner (within the encumbrance date of the grant award) when allocations change or programmatic changes are made, including amendments for reallocated funding, if applicable.

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Yes ☐ No ☐ N/A ☐

#### Guiding Question

##### 2.1c Did the LEA consult with the required stakeholders in the development of the LEA’s plan and implementation?

##### *Section 4106 (c) CONSULTATION. —*

##### *(1) IN GENERAL.—A local educational agency, or consortium of such agencies, shall develop its application through consultation with parents, teachers, principals, other school leaders, specialized instructional support personnel, students, community-based organizations, local government representatives (which may include a local law enforcement agency, local juvenile court, local child welfare agency, or local public housing agency), Indian tribes or tribal organizations that may be located in the region served by the local educational agency (where applicable), charter school teachers, principals, and other school leaders (if such agency or consortium of such agencies supports charter schools), and others with relevant and demonstrated expertise in programs and activities designed to meet the purpose of this subpart.*

###### Acceptable Evidence

* Surveys,
* Meeting minutes,
* Meeting sign-in sheets
* Partnership Memorandum of Understandings
* Advisory Board/Coalition Membership and meeting notes
* Other evidence of feedback/communication

###### Interview Question

Staff describes stakeholders included and how input was obtained from stakeholders.

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#### Sufficient Documentation

Yes ☐ No ☐ N/A ☐

#### Guiding Question

##### 2.1d How did the LEA determine the schools to be served and activities to be funded from the needs assessment process?

###### Acceptable Evidence

* Needs assessment data and planning documentation
	+ meeting minutes and agendas
	+ only required if allocation was $30,000 or more
	+ includes LEAs that transferred a portion of funds
* Analysis of needs assessment data
* List of schools served and criteria for selection
* Other evidence

###### Interview Question

Staff describes needs assessment process and how schools served were selected.

###### Local Educational Agency Response

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#### Sufficient Documentation

Yes ☐ No ☐ N/A ☐

## Program Monitoring and Evaluation

### 3.1: The SEA conducts monitoring to evaluate the degree to which progress has been made toward meeting measurable objectives included in the LEA application.

#### Guiding Question

**3.1a** **Did the LEA provide evidence to show periodic evaluation of the anticipated planned outcomes as described in the application for the funded activities?**

##### Acceptable Evidence

* Meeting minutes, agendas, and sign-in sheets

###### Interview Question

Staff describes the timeline of the periodic review of the data and the staff involved in the process.

###### Local Educational Agency Response

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#### Sufficient Documentation

Yes ☐ No ☐ N/A ☐

### 3.2: The SEA ensures the LEA meets the requirements for federal reporting for their progress towards meeting the measurable objectives in the approve application.

#### Guiding Question

**3.2a** **Did the LEA provide evidence to show progress toward measurable objectives being achieved through the funded activities?**

##### Acceptable Evidence

* Analysis of the data as described in the measurable objective(s)

###### Interview Question

Staff provides the data and the analysis that demonstrates the progress toward achieving the measurable objectives.

###### Local Educational Agency Response

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#### Sufficient Documentation

Yes ☐ No ☐ N/A ☐

#### Guiding Question

##### 3.2b Did the LEA complete the Title IV Part A Submission Report by the deadline?

###### Acceptable Evidence

* Evidence is accessible by department of education staff (Title IV, Part A, Submission Verification Report). No LEA submission is needed.

###### Interview Questions

* Staff describes the process used to complete the submission.

 Local Educational Agency Response

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Yes ☐ No ☐ N/A ☐

**Fiscal Requirements**

### 4.1: The SEA ensures that the LEA expends funds as described in the approved Title IV, Part A, application submitted to the Virginia Department of Education.

#### Guiding Question

##### 4.1a Did the LEA ensure that funds expended correlate with activities outlined in the approved funding application?

###### Acceptable Evidence

* Inventory List
* Purchase Requisitions
* Time and Effort Sheets

###### Interview Question

* Staff describes the process used to submit reimbursement requests in OMEGA.

 Local Educational Agency Response

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Yes ☐ No ☐ N/A ☐

### 4.2 The LEA complies with the supplement, not supplant provision of the Title IV, Part A, program.

#### Guiding Questions

**4.2a Did the LEA fund any of the current Title IV, Part A, activities from a different source in the last three years? If so, to what degree?**

##### Acceptable Evidence

* LEA’s budget for the last three years, from all funding sources

###### Local Agency Response

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###### Sufficient Documentation

Yes [ ]  No [ ]  NA[ ]

### 4.2 The LEA complies with the supplement, not supplant provision of the Title IV, Part A, program.

#### Guiding Questions

**4.2b How does the LEA ensure that Title IV, Part A funds supplement the state or locally funded activities?**

##### Acceptable Evidence

* LEA describes the process for ensuring Title IV, Part A funded activities are supplemental.

###### Local Agency Response

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Yes [ ]  No [ ]  NA[ ]

#### 4.3 The SEA ensures that the LEA encumbers and draws down funds in a timely manner.

#### Guiding Questions

**4.3a How does the LEA ensure a timely drawdown of funds? What is the process and timeline used by the LEA for encumbering and submitting reimbursements?**

###### Acceptable Evidence

* Accounting records
* Written accounting procedures

###### Interview Question

* Staff describes the fiscal process of the grant life cycle.

 Local Educational Agency Response

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Yes ☐ No ☐ N/A ☐

**4.3b Did the LEA claim 100% of the funds from each of the previous two grant cycles? If not, what percentage of funds have been unclaimed from each of the previous two years?**

###### Acceptable Evidence

* OMEGA Spend-down Calendar Report (Evidence is accessible by department of education staff)

###### Interview Question

* N/A

 Local Educational Agency Response

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Yes ☐ No ☐ N/A ☐

##### 4.4 Does the LEA ensure that financial records (such as application, amendments, budget transfers, purchase orders, invoices, etc…) are maintained in compliance with the Library of Virginia’s records retention policy?

###### Guiding Question

**4.4a What is the LEA’s procedure for the review and destruction of records?**

###### Acceptable Evidence

* Written procedure

###### Interview Question

* Staff describes the process used to maintain, store, and destruction of records.

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Yes ☐ No ☐ N/A ☐

### 4.5 The SEA ensures that the LEA distributes the funds according to the requirements.

#### Guiding Question

**4.5a If the LEA received an allocation of $30,000 or more, have funds been expended according to the requirement to spend at least 20% on well-rounded educational opportunities, at least 20% on safe & healthy students, and a portion on the effective use of technology?**

##### Acceptable Evidence

* LEA accounting records tracked by category for LEA and private schools

###### Interview Question

* Staff describes how the division ensures that Title IV, Part A, funds are expended in accordance with required spending thresholds.

###### Local Educational Agency Response

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Yes ☐ No ☐ N/A ☐

#### Guiding Question

**4.5b If the LEA allocated funds to the effective use of technology category, did the division use no more than 15% of these funds to purchase technology equipment, devices, and/or software?**

##### Acceptable Evidence

* Evidence was previously submitted under indicators 4.1a and 4.1c (reimbursements, purchase requisitions, and inventory list).

###### Interview Question

* Staff describes the procedures in place to ensure the LEA will not expend more than 15% to purchase technology equipment, devices, and/or software in the effective use of technology category.

###### Local Educational Agency Response

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Yes ☐ No ☐ N/A ☐

#### Guiding Question

**4.5c If the LEA allocated funds to administrative costs, did the LEA use no more than 2% of these funds to include claims for indirect costs and direct administrative costs?**

##### Acceptable Evidence

* Evidence previously submitted under indicator 4.1a (reimbursements, and application budget).

###### Interview Question

* Staff describes the procedures in place to ensure the LEA will not expend more than 2% administrative cost.

###### Local Educational Agency Response

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Yes ☐ No ☐ N/A ☐

## Equitable Services

### 5.1 The LEA complies with the provisions of Title IV, Part A, regarding timely and meaningful consultation with private schools.

#### Guiding Questions

**5.1a** **What process does the LEA use to contact and consult with private schools within the division’s geographic area? How are meaningful consultation meetings conducted? What information is shared during consultation meetings?**

##### Acceptable Evidence

* Letter(s)/emails of notification of planning meetings
* Attendance list from virtual consultation meeting
* Sign-on/sign-off sheet from each private school within division boundaries
* Intent to Participate Survey
* Meeting agendas/minutes
* Affirmation of Consultation
* List of private schools within geographic boundaries

###### Interview Question

* Staff describes the process for notifying private schools on the availability of equitable services funded by Title IV, Part A.

###### Local Educational Agency Response

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Yes ☐ No ☐ N/A ☐

#### Guiding Question

**5.1b Has the LEA established an agreement of services with private school officials on how and what services will be provided?**

##### Acceptable Evidence

* Signed Agreement of Services
* Meeting agendas, sign-in sheets, and minutes
* Other evidence of how services will be provided and availability of funds

###### Interview Question

* Staff describes the process for providing information toprivate school officials regarding the purpose and requirements for this program.
* Staff discusses types of services provided to private schools.
* Staff discusses the established timelines for providing services.

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### 5.2 The LEA obligates and administers funds properly on behalf of private schools during the fiscal year the funds were received.

#### Guiding Questions

**5.2a What is the process and timeline used by the LEA to notify private schools of the value of services available to them? What is the process used by private schools to request services? What is the process used by the LEA for procurement of services on behalf of private schools?**

##### Acceptable Evidence

* Communications outlining timelines and value of services
* Payments to service providers or reimbursements to individual teachers
* Copies of purchase orders or service agreements for private school services
* Has the LEA ensured that participating private schools have expended the proportionate share of funds as agreed?
* Release of obligation, if applicable

###### Interview Question

* Staff describes the process for private school expenditure and reimbursement of funds.

###### Local Educational Agency Response

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Yes ☐ No ☐ N/A ☐

**5.2b Did the LEA clearly delineate reimbursements submitted on behalf of the private schools in OMEGA? Was the full value of services provided to each participating private school from the previous two grant cycles? If not, was a release of obligation requested from the department? What percentage of funds set-aside for private schools from the previous two grant cycles have been encumbered/provided?**

##### Acceptable Evidence

* OMEGA reimbursements for private school activities

###### Interview Question

* N/A

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Yes ☐ No ☐ N/A ☐

### 5.3 The LEA retains control of and includes an inventory of fixed assets for any equipment purchased with Title IV, Part A, funds on behalf of private schools.

#### Guiding Questions

**5.3a What is the process used by the LEA for the maintenance of materials to be used by the private school with Title IV, Part A, funds?**

##### Acceptable Evidence

* Inventory of equipment/assets provided to private school (should be maintained on the school division’s inventory.)

###### Interview Question

* Staff describes the process for tracking of non-consumable materials/equipment purchased on behalf of the private school(s).
* Staff describes the procedure for reclaiming non-consumable materials no longer used by the private school.

###### Local Agency Response

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###### Sufficient Documentation

Yes [ ]  No [ ]  NA[ ]

### 5.4 The SEA ensures that the LEA has a written complaint procedure.

#### Guiding Questions

**5.4a Has the LEA informed the private school of the complaint procedure?**

##### Acceptable Evidence

* Copy of the complaint procedure with date and method of notification.

###### Interview Question

* Staff describes the complaint process for private schools.

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Yes ☐ No ☐ N/A ☐

## LEA Feedback

### 6.1: The SEA provides technical assistance to the LEA.

#### Guiding Question

**6.1a** What questions does the LEA have about the program? Are their specific professional development or technical assistance requests?

##### Acceptable Evidence

###### Interview Question

* Staff describes topics of interest or program areas where technical assistance would be beneficial.

###### Local Educational Agency Response

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Yes ☐ No ☐ N/A☐