

Guidance for Monitoring Neglected and Delinquent (N&D) Programs and Facilities

Grant recipients have a legal obligation to conduct sub-recipient monitoring to ensure compliance with federal laws and program performance. Districts receiving Title I, D funds are required to ensure that students who are neglected, delinquent, or at-risk are receiving a quality education that prepares them for success. This is accomplished by monitoring the programs and facilities to which funds are allocated. Monitoring visits are often scheduled in advance, although unannounced visits are not prohibited and could occur in response to concerns raised during on-site or desktop audits. While [official guidance](#) from the National Technical Assistance Center for the Education of Neglected of Delinquent Children and Youth (NDTAC) states that districts are responsible for monitoring neglected and delinquent facilities every three years, the department encourages districts to consider using either desktop or self-assessments during years in which there are not on-site visits to ensure students are receiving “a fair, equal, and significant opportunity to obtain a high-quality education.” (NDTAC)

The following set of statements includes suggested elements to include in a monitoring instrument. Below each statement is an example of appropriate supporting evidence (where applicable). Districts should meet with facilities to discuss the monitoring questions and request supporting evidence from the facilities to demonstrate compliance. It is understood that each program and district may have different needs; therefore, districts may choose to use the items that apply to them to create a monitoring document that meets the needs of both their district and the facility. Regardless of which elements districts choose to include, the overall goal of the monitoring should be to assess the quality and integrity of the educational program and its utilization of Title I, D funds to support that mission.

Please note that districts are required to provide documentation and results of their monitoring of Title I, D programs in neglected and delinquent facilities as part of the results-based monitoring process. In addition, it is recommended that districts maintain copies of the monitoring results and related documentation for at least five years.

Program: School Planning and Performance

- The school or facility includes different team members and departments in its school planning process (when determining needs and how the funds will be utilized).
e.g., agendas, sign-in sheets, meeting notes
- The facility has a process for administering the needs assessment and reviewing results between late February and early April each year.
e.g., completed needs assessment
- The facility has completed the Consolidated State Performance Report (CSPR) program evaluation.
- The facility evaluates student progress toward state standards, educational achievement, and transition.
e.g., CSPR data, needs assessment, meeting notes, report cards, intervention results and agendas
- There is evidence that students maintained or improved academically based on pre/post test results and/or report card grades.
e.g., CSPR data, report cards

- The facility completes the annual count each year and submits results to the district point of contact.

Program: School Leadership

- The facility is staffed with teachers and other qualified staff trained to work with children and youth with disabilities and unique needs.
e.g., teacher licenses, endorsements of teachers that match grades/subjects taught
- The facility can demonstrate that it has a basic educational program and resources to meet the needs of their students. (This is essential as Title I, D services and materials are supplemental.)
e.g., current textbooks, manipulatives, resources to assist with instruction and technology in school
- The facility provides ongoing, high-quality, professional development for its staff that is aligned to its needs assessments.
e.g., conference registrations, program descriptions, professional development calendar
- Teachers are given adequate planning time and opportunities to collaborate with colleagues.
e.g., teacher schedules, teacher interviews, meeting notes and agendas
- The school or facility has standard daily starting and ending times for school students and staff.
e.g., school schedule
- Students are provided with a full school day of instruction, including required core classes.
e.g., school and student schedules

Program: Student and Family Services

- Students are provided with skills necessary to seek a secondary school diploma or GED and gain employment.
e.g., lesson plans, HiSET program, list of courses offered, transcripts, guest speakers
- Student records are received from prior placement, and upon exit, transferred to student's next placement.
e.g., procedures and timelines for records request
- There are procedures in place for when student records cannot be obtained.
- The facility assists students with transitioning back into their home school and community.
e.g., discharge plans, transition plans, procedures
- The facility has a formal agreement with the local district on file; the agreement is updated at least annually.
- The facility provides parents with training and information on ways to improve their child's educational achievement and prevent further delinquent activities (for youth in delinquent facilities).
e.g., presentations, handouts, pamphlets/flyers, meeting notes and agendas
- The facility provides a quality special education program in accordance with IDEA, including staff certifications, procedures for identifying students with special needs, procedures for serving students with special needs, etc.
e.g., copies of current IEPs (with identifiable information redacted), schedule of IEP meetings and service logs (such as speech/language and OT/PT)

Program: Operating Procedures

- The facility staff members meet at least quarterly to discuss Title I programming and spending.
- The facility maintains an up-to-date Title I, D folder including information such as: a current inventory, copy of the formal agreement, needs assessment, application, budget, relevant policies and procedures, and staff assurances. The district should decide exactly what particulars are relevant to the program and items that they would want to review during on-site visits. This folder will help to establish continuity in the program should there be a change in personnel.
- The facility operates a Title I, D program with continuity from year to year, even when there is a change of personnel.
e.g., evidence of cross training, manual outlining requirements and procedures, Title I, D notebook usage
- The facility responds to all correspondences by the district and the department within five business days.
- The facility attends all mandatory trainings by the department and the district.
- The facility notifies the district and the department immediately upon knowledge of any significant staff, program, or budget changes that could impact the Title I, D program.

Funding

- The facility only spends funds on pre-approved, allowable expenses authorized by the district.
- If utilizing funds for a staff position, the facility has signed staff assurances and detailed job descriptions on file.
e.g., Personnel Activity Reports (PARs) or semi-annual certifications signed and dated as required
- The facility has an accurate and comprehensive inventory list of all equipment to the district's specifications, such as serial number, model, year purchased, etc. This list should be provided at least annually to the district. (The district should list what types of equipment should be tracked).
- The facility has developed a spending plan for Title I funds in conjunction with the district which includes spending money on a regular basis and requesting reimbursements on a monthly basis (if applicable), and there is evidence that this plan is being followed.
e.g., invoices, reimbursement requests, updated budgets as needed