NATIONAL CHARTER SCHOOL RESOURCE CENTER

SEA SE Grantee Symposium – Day 1

A Two-Day Workshop on Grants Administration for SEA State Entity Grantees

August 25, 2021 | Virtual

charterschoolcenter.ed.gov

About the NCSRC

The National Charter School Resource Center (NCSRC) provides technical assistance to federal grantees and resources supporting charter sector stakeholders. NCSRC is funded by the U.S. Department of Education (ED) and managed by Manhattan Strategy Group (MSG) in partnership with WestEd.

Cameras Off/Cameras On Icebreaker
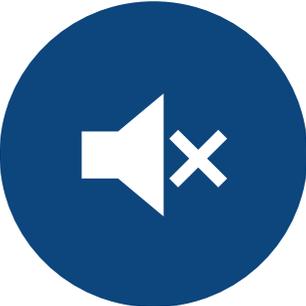
Day 1 Speakers

Jennifer Todd
Ashley Gardner

Sharon Herpin, Ed.D.
Robin Chait
Kelly Wynveen

And… YOU!

Norms

Remember to mute yourself

Utilize the chat for questions and comments

Actively participate in discussions

Respond to the survey

The main session is being recorded. By participating, you are consenting to be recorded. Breakout room discussions will not be recorded.

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Agenda

Day One – August 25

- 2-2:10 p.m. Welcome/Overview
- 2:10-3:20 p.m. Subgrantee Monitoring
- 3:20-3:30 p.m. Q&A/Closing Thoughts

Day Two – September 1

- 2-2:10 p.m. Welcome/Overview
- 2:10-3:20 p.m. Peer Review
- 3:20-3:30 p.m. Q&A/Closing Thoughts

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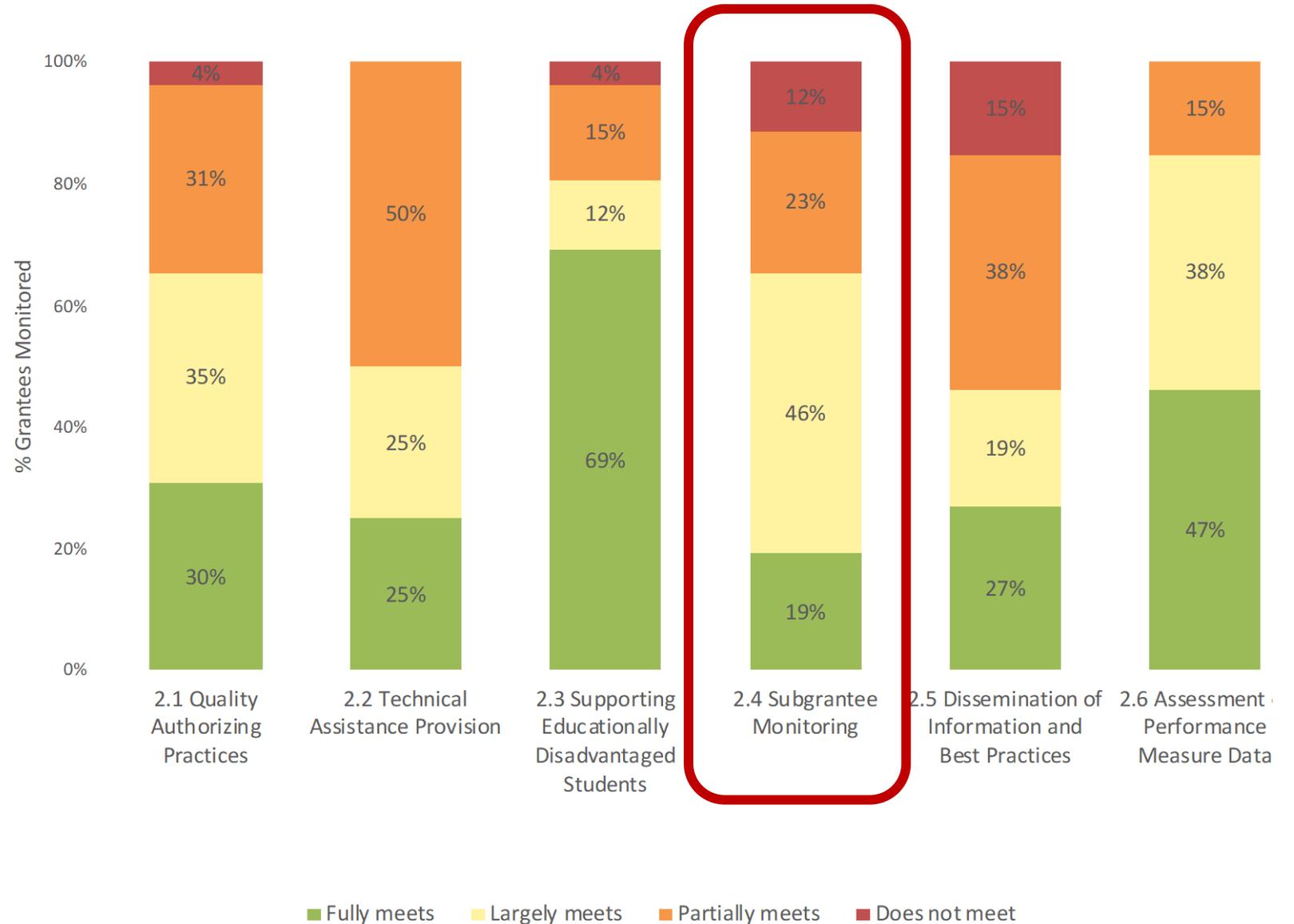
Meeting Objective and Purpose

Purpose: Bring together grantees for technical assistance and community building

Objective: Provide direct technical assistance to SEA SE grantees in areas of high need to ensure grantees are effective stewards of CSP funding

Supporting High-Quality Charter Schools

What is subgrantee monitoring?

A process for assessing subgrantees to ensure they are:

- implementing their grant-funded project as proposed; and
- using their funding in compliance with laws, regulations, and conditions.

Purpose of Subgrantee Monitoring

1
Ensure compliance with federal laws and regulations governing the use of grant funds

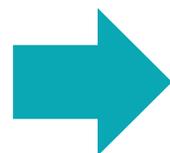**2**
Ensure compliance with subgrant application

3
Measure subgrantee progress toward meeting performance goals

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Are subgrantees implementing their grant projects as proposed (or amended and approved)?

Proposal

Approval

Implementation

Monitoring
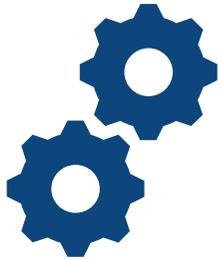
Corrective Action

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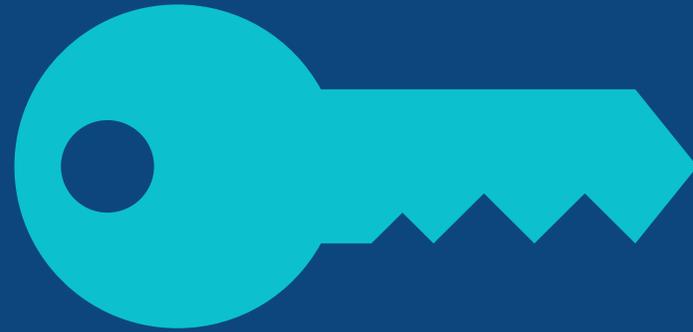
Key Elements of an Effective Subgrantee Monitoring Plan

Key Elements of Effective Subgrantee Monitoring

Monitoring Mechanics

Monitoring Content

Monitoring Follow Up

Monitoring Mechanics

Who

Who is doing the monitoring?

How

What types of monitoring activities are being conducted?

When

How frequently are grantees monitored?

Which

Which subgrantees are getting monitored?

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Monitoring Mechanics – Who

- Who on the team will monitor?
  - Preferred qualifications:
    - Expertise in charter schools
    - Knowledge of grants management
  - Knowledge for monitoring:
    - CSP requirements
    - Allowable expenses
    - Subgrantee grant application
  - Provide training to monitors

Monitoring Mechanics – Who (Will Be Trained?)

Training Content

Overview of CSP requirements

Content they are monitoring

Rubrics and checklists they will use

Acceptable evidence

Training Options

Host a virtual training session

Create modules for monitors to watch

Hold practice sessions

Monitoring Mechanics – How?

Desktop monitoring

Expenditures, policies, progress toward grant objectives

Onsite monitoring

Student safety and operational management, meeting the needs of disadvantaged students, programmatic elements of application

Virtual monitoring

Authorizer interviews, interviews with developer staff

Monitoring Activities – Sources

Subgrant application	Interviews with authorizers	Interviews with developer staff	Onsite reviews
Financial documents	Board minutes	Charter contract	School website

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Monitoring Mechanics – When?

Full, on-site monitoring at least once during the grant period

Some type of monitoring at least annually to ensure subgrantees are on track with grant implementation

Monitor subgrantee expenditures more frequently--at least quarterly

Monitoring Mechanics – Which

Which subgrantees are getting monitored on-site annually?

Two options:

1 - All subgrantees
2 - Use a risk-based approach

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Monitoring Supports

A monitoring guide outlines key topics and indicators you will monitor

Important for communicating expectations to subgrantees

A rubric should define acceptable evidence and ratings

Peer examples are helpful

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Sample Monitoring Rubric

Indicator P3: The subgrantee has adopted and implements conflict of interest policies that prevent real or apparent conflicts of interest.

Criteria for the indicator:
- The governing board has adopted and implemented a conflict of interest policy that prevents real or apparent conflicts of interest;
- Board minutes document when a member has a real or apparent conflict of interest and the member has abstained from voting on any related business items; and
- The school does not enter into lease/rental contracts where any board member has a real or apparent conflict of interest.

Subgrantee must upload documentation:
- List of governing board members and their affiliations;
- Conflict of interest policy and board minutes;
- Rent/lease contract/agreements; and
- Board minutes indicating when a governing board member abstains from voting due to a real or perceived conflict of interest (if applicable).

Subgrantee must answer these questions:
1. Describe the process your governing board follows when a conflict of interest is discovered.
2. (If applicable) Has a governing board member abstained from voting on any related business items that are a conflict of interest?

Rating: (Department determines.)	**Compliant**	**Not Compliant**

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Subgrantee Monitoring Checklist

	Verifications Needed During the Application Process
√	The applicant applied to an authorized public chartering authority to operate a charter school.
√	The applicant provided adequate and timely notice to that authority regarding the CSP application.
√	The applicant has nonprofit status.
√	The applicant is an organization with articles of incorporation.
√	The applicant has not received a previous award under the grant, directly from ED or an SE, for the same purpose.
√	For Replication or Expansion applicants: that the charter school is high quality, and a) shows evidence of strong academic results, which may include strong student academic growth, as determined by a State b) has no significant issues in the areas of student safety, financial and operational management, or statutory or regulatory compliance c) has demonstrated success in significantly increasing student academic achievement
√	The proposed school is exempt from significant State or local rules that inhibit the flexible operation and management of public schools.
√	The proposed school is created by a developer as a public school, or adapted from an existing public school and is operated under public supervision and direction.

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Do Your Subgrantees Have These Policies?

- Conflict of Interest
- School Closure
- Disposition/Depreciation of Assets
- Admissions Lottery Policy (Including Preferences and Weights)
- Purchasing/Procurement Policy
- Document Retention
- Student Discipline (Suspension/Expulsion)

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Pain Points in Subgrantee Monitoring: Discussion

How do you continue to ensure that subgrantees meet the federal definition of a charter school throughout the life of the grant?

How are you monitoring the implementation of a lottery policy?

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Monitoring Follow Up

Written report on findings (positive and negative)

Share with subgrantee and authorizer

Plan for subgrantee to address deficiencies within a specified time period (corrective action plan)

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Breakout Rooms

Set expectations. Make sure your subgrantees are aware of what you are monitoring and how you are conducting your monitoring.

Provide trainings. Offer trainings on your monitoring process and share with subgrantees examples of your own monitoring systems to model how they may organize their monitoring files.
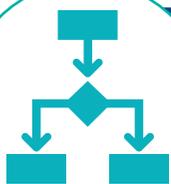
Use what is available. Don't recreate the wheel. Look to your current processes and your state's authorizers for existing structures to support your monitoring processes and adapting your process to virtual.

Focus on trust. Foster a relationship built on trust with subgrantees.

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What were your "ah-ha" moments from the breakout rooms?

Additional Questions
Related to Subgrantee Monitoring

How did we do?

How can you contact NCSRC?

charterschoolcenter.ed.gov

contact-us@charterschoolcenter.org

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Closing Thoughts from CSP

Share your biggest takeaway from today's session in the chat.