



Arizona Department of Education

## Arizona Charter Schools Program (AZCSP) Monitoring Procedures for Awarded Schools

Rev 5/31/2024

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Training		
Purpose	<p>All schools, upon their first Project Year award, receive training in the following:</p> <ul style="list-style-type: none"> <li>○ Arizona Department of Education Grants Management Enterprise (GME) to understand:               <ul style="list-style-type: none"> <li>- Budget training and approval process</li> <li>- Finance requirements of the grant</li> <li>- Process to request funds</li> <li>- Amendments &amp; Completion Reports</li> <li>- How and whom to contact regarding problems or questions.</li> </ul> </li> <li>○ The AZ CSP Monitoring Handbooks to evaluate progress toward written goals:               <ul style="list-style-type: none"> <li>- Academic evaluation of the school’s progress toward its stated educational outcomes</li> <li>- Governance evaluation.</li> </ul> </li> </ul>	
Planning	Programmatic Activities	Follow up
Purpose	<ul style="list-style-type: none"> <li>● Confirm the school continues to meet the federal definition of a charter school.</li> <li>● Confirm that the school is moving forward with Planning Project Year activities as defined in its application.</li> <li>● Confirm that school Planning Project Year activities and expenditures are reasonable, allocable, and allowable per ESEA.</li> <li>● Observe progress in Planning Project Year toward meeting educational objectives defined in the school’s application.</li> </ul>	Desk monitoring and onsite visit and review of GAN outlining schools’ obligations and site issues.
Procedure	<ul style="list-style-type: none"> <li>● AZCSP Awarded Schools receive various monitoring in Planning Period Year.</li> </ul>	All transactions throughout the Project Year are reviewed by AZCSP staff for GME approval and School Finance Division payment.

	<ul style="list-style-type: none"> <li>• First monitoring is the personal interview and final approval of the Project Year Budget application.</li> <li>• Subgrantee participation in Instructional Rounds allows review of subgrantee’s progress toward educational objectives.</li> </ul>	<ul style="list-style-type: none"> <li>• Special payments</li> <li>• Funding Application revisions</li> </ul>
Timeframe	<ul style="list-style-type: none"> <li>• Funding Applications are reviewed and approved or rejected within five days of submission.</li> <li>• Reimbursement Request are reviewed and approved or rejected within five days of submission.</li> <li>• Funding Application Revisions are reviewed and approved or rejected within five days of submission.</li> </ul>	
Ongoing Risk Assessment	<p>In evaluating risks posed by awarded schools, the AZCSP team will review the school’s management systems over and above the AZCSP Monitoring Handbook for the following:</p> <p>Operations:</p> <ul style="list-style-type: none"> <li>• Enrollment trends and marketing strategy to measure if the awarded school is on target to meet its enrollment cap.</li> </ul> <p>Compliance:</p> <ul style="list-style-type: none"> <li>• Review the school’s status and relationship with its Authorizer;</li> <li>• Timeliness of compliance with the school’s applicable reporting requirements.</li> <li>• The applicants’ ability to implement statutory, regulatory or other requirements imposed on non-Federal entities, i.e. <ul style="list-style-type: none"> <li>○ Special Education Policies and Procedures.</li> <li>○ Lottery/Enrollment Policies and Procedures.</li> </ul> </li> </ul>	<p>Schools which are out of monitoring compliance shall receive a notice from AZCSP identifying those compliance areas and a defined period of time necessary to take corrective action.</p> <p>Schools which do not respond within the time frame may have their grants placed on Administrative Hold until corrections are confirmed.</p> <p>Schools with multiple corrective actions in financial operation will be deemed “At Risk” which will result in an audit conducted by an ADE Grants Management Financial Auditor. AZCSP funds will be placed on Administrative Hold until the audit is completed, and the results are reviewed.</p>
Planning	Grants Management Monitoring Activities	Follow up

	Reimbursement Monitoring	Grants Management (GM) personnel review reimbursement request for alignment with approved funding application.
	Annual Monitoring	Following submission of annual completion report, GM personnel monitor all submitted invoices for allowable costs. GM personnel also review subrecipient financial and operational policies and confirm that subrecipient financial and operational personnel are employed by the subrecipient and not a CMO or EMO.

Implementation Project Year 1	Programmatic Monitoring Activities	Follow up
Purpose	<ul style="list-style-type: none"> <li>• Confirm that school is moving forward with Implementation activities as defined in its application.</li> <li>• Confirm that school Implementation activities and expenditures are reasonable, allocable and allowable per ESEA.</li> <li>• Observe progress toward meeting educational objectives defined in the school's application.</li> </ul>	Schools which do not open after the maximum 18 months Planning Period has expired will be deemed At Risk and their funds will be placed on Administrative Hold.
Monitoring Personnel and Their Qualifications	<ul style="list-style-type: none"> <li>• Program and compliance monitors shall consist of the following qualified personnel: <ul style="list-style-type: none"> <li>○ ADE AZCSP Program Staff with state and federal program management and policy experience.</li> <li>○ ADE Grants Management Enterprise Federal Monitor with training and minimum one-year's federal audit experience.</li> </ul> </li> </ul>	

	<ul style="list-style-type: none"> <li>○ External contractor(s) with previous charter monitoring experience at the state or school district policy level; i.e. Arizona State Board for Charter Schools or a school district federal program officer. <ul style="list-style-type: none"> <li>▪ State agency or school district potential candidates shall present qualifications to AZ CSP staff before contracting work.</li> <li>▪ Contractor files are retained by AZ CSP and ADE Procurement.</li> <li>▪ ADE personnel records are maintained by the Human Resources Unit.</li> </ul> </li> </ul>	
<p>Procedure</p>	<ul style="list-style-type: none"> <li>● AZCSP Awarded Schools receive minimum of two onsite monitoring visits and various desk monitorings based on amendment and special payment events in its first Implementation Year.</li> <li>● The first onsite monitoring is to observe the school’s educational and operational activities including classroom observations, student learning environment, teacher planning and preparation and ensure compliance with certain policies and procedures. This monitoring may take place in two parts: 1) an observation to review the school and classroom dynamic. 2) A formal review based on the AZCSP Checklist Monitoring documenting policy and procedure compliance.</li> </ul>	<p>Follow up to first visit may include the following:</p> <ul style="list-style-type: none"> <li>● Document visit describing operations observed for permanent record and school copy.</li> <li>● Provide list of online quality academic and operational resources.</li> <li>● Provide technical assistance to improve operational compliance.</li> <li>● Provide technical assistance to improve instruction and instructional planning.</li> </ul> <p>Follow up to second visit may include the following:</p> <ul style="list-style-type: none"> <li>● Immediate follow up of previous unresolved issues.</li> </ul>

	<ul style="list-style-type: none"> <li>The second onsite monitoring is an onsite visit to conduct programmatic monitoring using the AZ CSP Monitoring Handbook.</li> <li>Both monitoring visits will also review progress toward educational objectives.</li> </ul>	<ul style="list-style-type: none"> <li>Corrective Action Plan issued to be completed and approved by the school's Governing Body within a defined period.</li> </ul>
Timeframe	<ul style="list-style-type: none"> <li>The first onsite reviews completed by October 1</li> <li>The second onsite review completed by April 1.</li> <li>Final reconciliation of the school's Completion Report with its General Ledger by June 30.</li> <li>Review schools' final academic data based on state mandated assessments by August 1.</li> </ul>	
Implementation Project Year 1	Grants Management Monitoring Activities	Follow up
	Reimbursement Monitoring	Grants Management (GM) personnel review reimbursement request for alignment with approved funding application.
	Annual Monitoring	Following submission of annual completion report, GM personnel monitor all submitted invoices for allowable costs. GM personnel also review subrecipient financial and operational policies and confirm that subrecipient financial and operational personnel are employed by the subrecipient and not a CMO or EMO.

Implementation Project Year 2	Programmatic Monitoring Activities	Follow up
Purpose	<ul style="list-style-type: none"> <li>Confirm that school is moving forward with Implementation activities as defined in its application.</li> </ul>	

	<ul style="list-style-type: none"> <li>• Confirm that school Implementation activities and expenditures are reasonable, allocable and allowable per ESEA.</li> <li>• Track and analyze school performance data toward meeting AZCSP grant outcomes.</li> </ul>	
Procedure	<ul style="list-style-type: none"> <li>• AZ CSP Awarded Schools receive minimum of two onsite monitoring visits and various desk monitoring based on amendment and special payment events in its second Implementation Year.</li> <li>• The first onsite monitoring is to observe the school’s educational and operational activities including classroom observations, student campus environment, teacher planning and preparation for second formal monitoring using the AZ CSP Monitoring Handbook.</li> <li>• The second onsite monitoring may take place in two parts with two separate visits: 1) an observation to review the school and classroom dynamic. 2) A formal review based on the AZ CSP Monitoring Handbook documenting key academic procedures. This monitoring will also include a comprehensive review of school governance and leadership including stakeholder interviews. It may be necessary for an additional visit to complete this latter portion of the monitoring.</li> </ul>	<p>Follow up to first visit may include the following:</p> <ul style="list-style-type: none"> <li>• Document visit describing operations observed for permanent record and school copy.</li> <li>• Provide technical assistance to improve operational compliance.</li> <li>• Provide technical assistance to improve instruction and instructional planning.</li> </ul> <p>Follow up to second visit may include the following:</p> <ul style="list-style-type: none"> <li>• Immediate follow up of previous unresolved issues.</li> <li>• Corrective Action Plan to be completed and approved by school’s Governing Body within a defined period.</li> </ul>
Timeframe	<ul style="list-style-type: none"> <li>• Onsite reviews completed by March 31.</li> <li>• Review schools’ final academic data based on state mandated assessments by August 1.</li> </ul>	
Implementation Project Year 2	Grants Management Monitoring Activities	Follow up

	Reimbursement Monitoring	Grants Management (GM) personnel review reimbursement request for alignment with approved funding application.
	Annual Monitoring	Following submission of annual completion report, GM personnel monitor all submitted invoices for allowable costs. GM personnel also review subrecipient financial and operational policies and confirm that subrecipient financial and operational personnel are employed by the subrecipient and not a CMO or EMO.

Implementation Project Year 3	Programmatic Monitoring Activities	Follow up
Purpose	<ul style="list-style-type: none"> <li>• Confirm that school is moving forward with Implementation activities as defined in its application.</li> <li>• Confirm that school Implementation activities and expenditures are reasonable, allocable and allowable per ESEA.</li> <li>• Track and analyze school performance data toward meeting AZCSP grant outcomes.</li> </ul>	
Procedure	<ul style="list-style-type: none"> <li>• AZ CSP Awarded Schools receive minimum of two onsite monitoring visits and various desk monitoring based on amendment and special payment events in its second Implementation Year.</li> <li>• The first onsite monitoring is to observe the school's educational and operational activities including classroom observations, student campus environment, teacher planning and preparation for</li> </ul>	<p>Follow up to first visit may include the following:</p> <ul style="list-style-type: none"> <li>• Document visit describing operations observed for permanent record and school copy.</li> <li>• Provide technical assistance to improve operational compliance.</li> <li>• Provide technical assistance to improve instruction and instructional planning.</li> </ul>

	<p>second formal monitoring using the AZ CSP Monitoring Handbook.</p> <ul style="list-style-type: none"> <li>The second onsite monitoring may take place in two parts with two separate visits: 1) an observation to review the school and classroom dynamic. 2) A formal review based on the AZ CSP Closeout Monitoring Handbook documenting key academic procedures. This monitoring will also include a review of school's performance against its logic model proposed in the subgrant application.</li> </ul>	<p>Follow up to second visit may include the following:</p> <ul style="list-style-type: none"> <li>Immediate follow up of previous unresolved issues.</li> <li>Corrective Action Plan to be completed and approved by school's Governing Body within a defined period.</li> </ul>
Timeframe	<ul style="list-style-type: none"> <li>Onsite reviews completed by March 31.</li> <li>Review schools' final academic data based on state mandated assessments by August 1.</li> </ul>	
Implementation Project Year 3	Grants Management Monitoring Activities	Follow up
	Reimbursement Monitoring	Grants Management (GM) personnel review reimbursement request for alignment with approved funding application.
	Annual Monitoring	Following submission of annual completion report, GM personnel monitor all submitted invoices for allowable costs. GM personnel also review subrecipient financial and operational policies and confirm that subrecipient financial and operational personnel are employed by the subrecipient and not a CMO or EMO.