Special Education Fiscal Monitoring Onsite and Desk Review Manual







Department of Education & Workforce

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Introduction

The Office for Exceptional Children is responsible to ensure that Individuals with Disabilities Education Improvement Act (IDEA) Part B funds are being used not only in compliance with statutory requirements regarding the provision of educational services and supports but also to improve outcomes for students with disabilities, ages 3 through 21, so they can be successful in college, careers and citizenship. School districts must be able to account for their use of IDEA Part B funds separately from other state and federal funds. The term school district in this manual includes public school districts, community schools and boards of developmental disabilities.

The Office for Exceptional Children monitors fiscal compliance through a tiered approach. The tiers include: Onsite Review, Desk Review and Self-Assessment.

School districts are assigned to tiers by Office for Exceptional Children through a risk analysis process. The risk factors utilized include:

- Special Education Director Experience
- Prior Office Audit findings
- Maintenance of Effort
- Coordinated Early Intervening Services (Voluntary or Mandatory)
- Amount of the Part B allocation
- Completion of Prior Year Self-Survey
- School Wide Pooling of Funds
- State Audit Findings
- Date of Last Monitoring visit
- District duration of existence
- Date of previous fiscal year submission of Consolidated Application
- Consortium Participation
- Nonpublic Proportionate Share requirements

In a collaborative, Ohio Department of Education and Workforce agency-wide initiative, school districts will be notified through a single Department representative when selected for multiple monitoring reviews. That single contact will collaborate with all overlapping offices and the school district to schedule the reviews. If applicable, school districts will be offered the option to have all onsite reviews scheduled concurrently or separately.

An Education Program Specialist is assigned to each district selected for Special Education Fiscal Monitoring to provide assistance during the fiscal review process.

This manual is designed to help districts complete the IDEA fiscal review. Please also refer to the **Required Document Checklist** to ensure all necessary documents are submitted.

Thank you,
The Office for Exceptional Children & The Office of Fiscal Administration

Accessing the Monitoring Tracking System

The Ohio Department of Education and Workforce uses the Monitoring Tracking System to complete fiscal monitoring reviews. Users access the system through the OH|ID web portal from the InnovateOhio Platform.

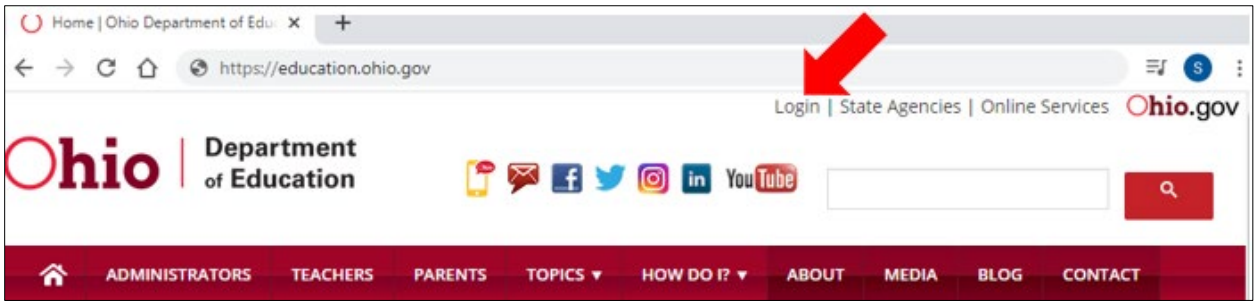
Users must have one of the following roles in the Ohio Educational Directory System (OEDS-R), assigned by their district's OEDS coordinator, to complete the required surveys:

1. Superintendent
2. Treasurer
3. Data Entry-Compliance
4. Supervisor-Special Education-General
5. Director-Special Education-General
6. Special Education Contact

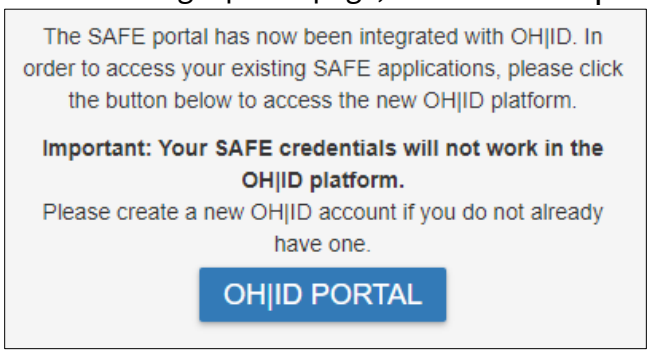
Note: Users that need to access the system but do not have one of these identified roles must contact their district's OEDS coordinator.

Logging in through OH|ID

1. Users that do not have a OHID account can create a new account by clicking **Login** located at the top of the Department's home page.



2. On the Login portal page, click on the **OH|ID Portal** button.



3. This button will navigate to the OH|ID Portal. The portal can also be reached at https://ohid.ohio.gov/wps/portal/gov/ohid/login.

4. To create a new account, click “Create an OH|ID account.”



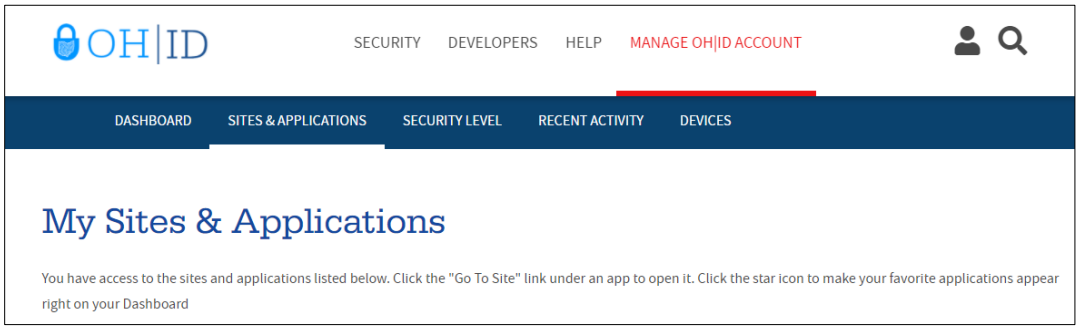
5. Users with an established **OH|ID** account may sign into their account by entering their username and password and clicking the Log In button:



Additional assistance on creating a new **OH|ID** account can be found at http://education.ohio.gov/Topics/Department-of-Education-OH-ID-Portal-Help#profile.

A YouTube video with step-by-step instructions on this process can be found at https://www.youtube.com/watch?v=49kYqYJpm8w&feature=emb_logo.

6. Once signed into OH|ID, a list of web applications to which the user has access is displayed on the Sites & Applications page. If the user has marked the Monitoring tile as a Favorite, the tile will be displayed on the Dashboard.



7. If the **Monitoring** tile appears, click “Go to Site” on the tile:



If the **Monitoring** link does not appear, the user does not have access to the system and must contact the district OEDS administrator for assignment to an appropriate role.

Accessing the Special Education Program

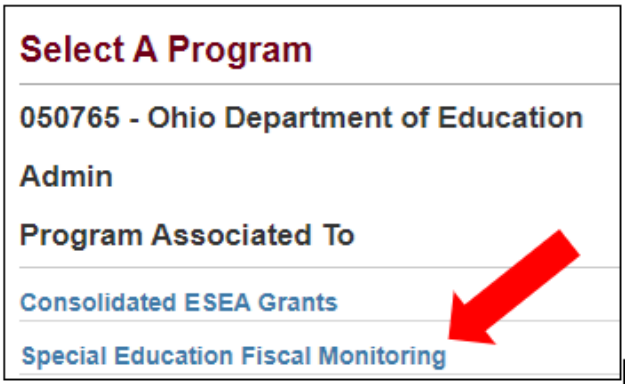
1. The Monitoring Tracking System opens to the Monitoring Dashboard.
2. The “**Select A Program”** prompt on the upper left side of the screen provides quick access to the programs available based on the user’s OEDS role(s).



3. If the user has an appropriate role in OEDS for more than one organization, a message stating so will be present in blue. The user must select the organization that they wish to access by selecting the organization from the Organization drop-down options.

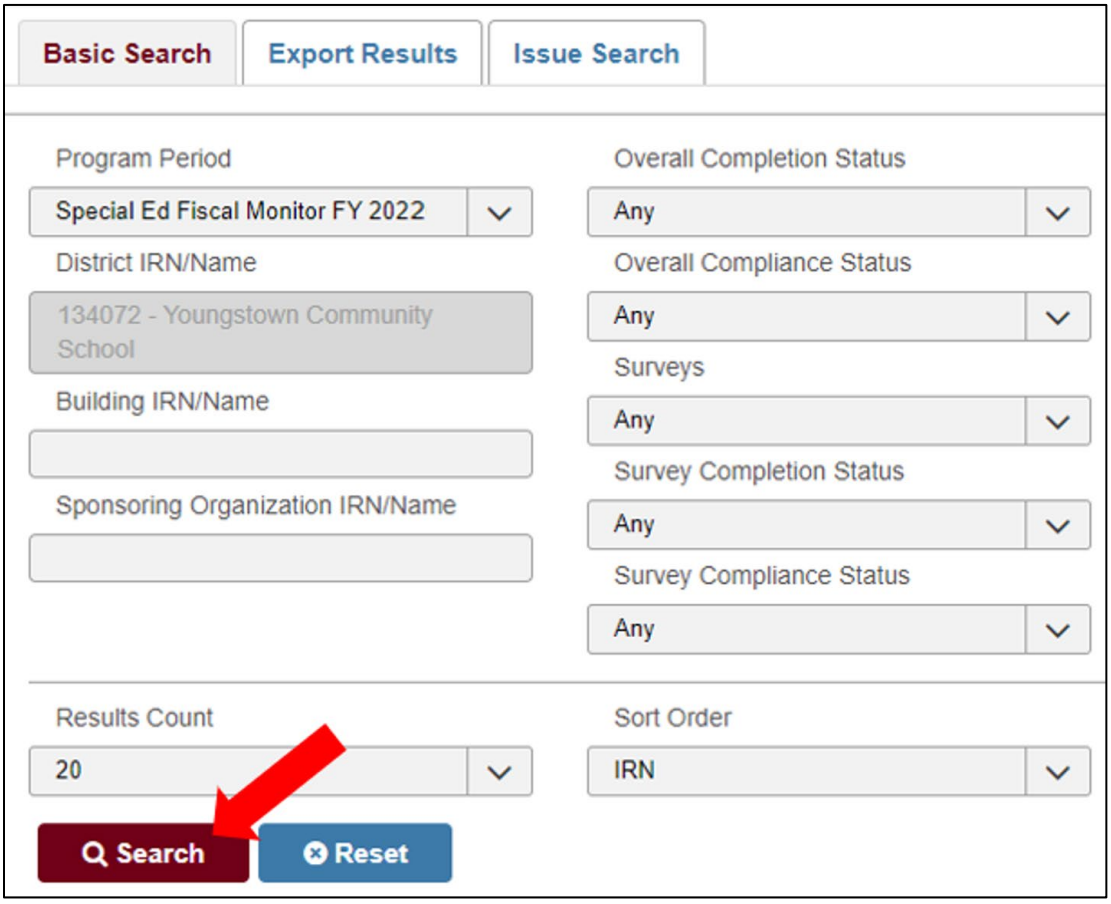


4. The monitoring programs displayed for the selected organization are based on the user's OEDS roles assigned. These are listed in the District IRN Program Associated To section. Click on Special Education Fiscal Monitoring to access the assigned fiscal review.

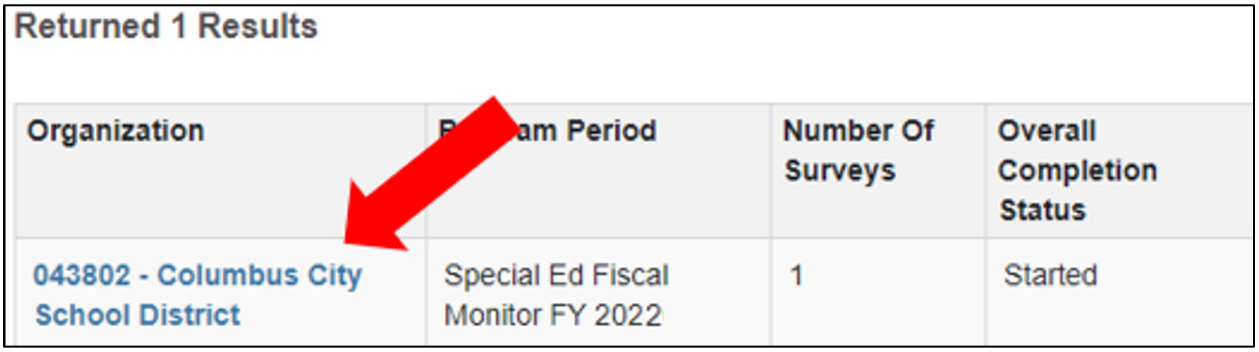


If Special Education Fiscal Monitoring does not display for a district/community school assigned a Special Education Fiscal Review, the user must contact the district OEDS administrator for assignment to an appropriate role defined on page 4.

5. Once a program is chosen, the user will land on the Basic Search page. The District IRN/Name will be selected in the Search page. Click **Search** to return the survey or surveys available to the district/community school.



6. Click on the highlighted name of the district/community school to access the school district's fiscal survey. The Education Program Specialist assigned to complete the review is displayed on this screen in the **Consultant** column.

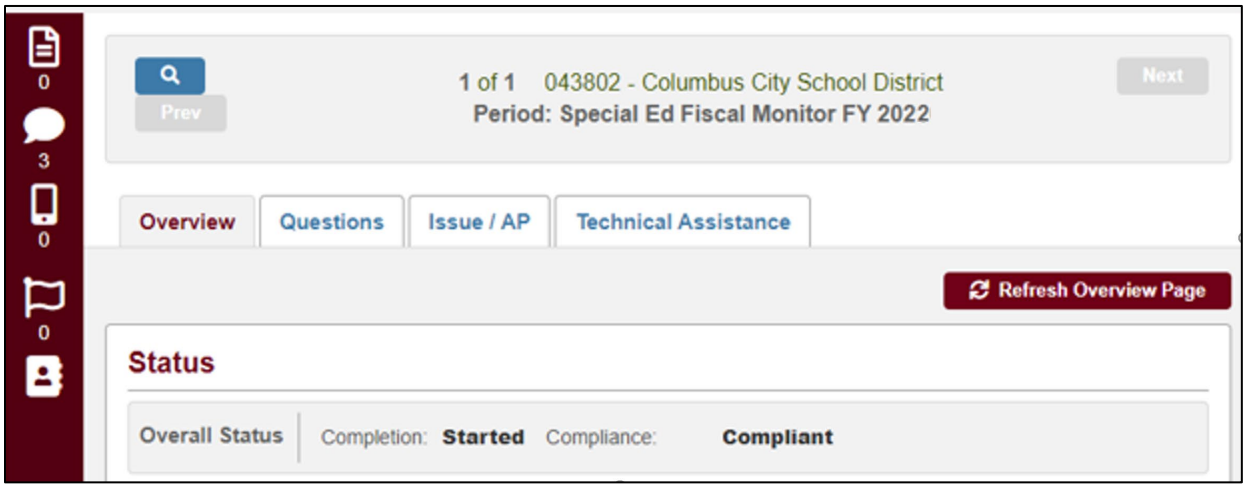


Completing the Special Education Fiscal Onsite or Desk Review Survey

This section provides guidance to districts, community schools, and/or Boards of Developmental Disabilities that are assigned a fiscal review. This section will cover the process of uploading required documents and viewing the review process completed by the Office for Exceptional Children and the Office of Fiscal Administration based on the review of documentation provided.

Overview

The home page of the fiscal surveys is the **Overview**. It provides the district name, the period of Monitoring, the status of the Survey, the individuals both at the Ohio Department of Education and Workforce and at the district who assigned to the Survey, the Surveys being completed, and a summary of the Issues or Technical Assistance being provided to the district.



The district/community school can access each section of the review by clicking the tab titles.

Monitoring Documents

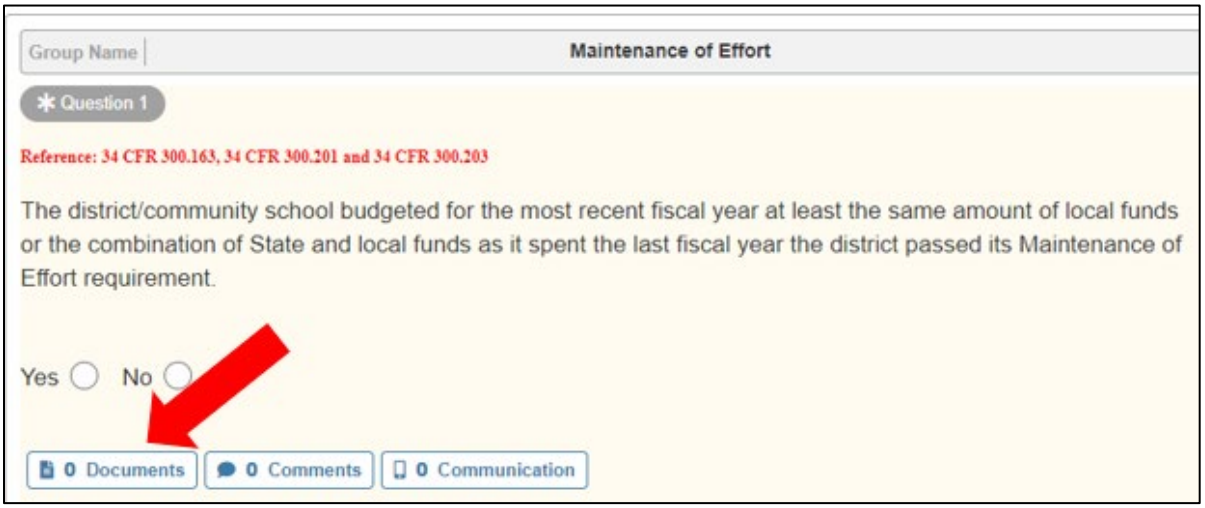
The first step of the Intensive or Desk review is the district/community school uploading the documents required by Office for Exceptional Children.

This manual was also attached to the email notification sent to the district announcing the assigned review. The **FY24 Required Documents for Fiscal Onsite & Desk Reviews** was also provided in that email.

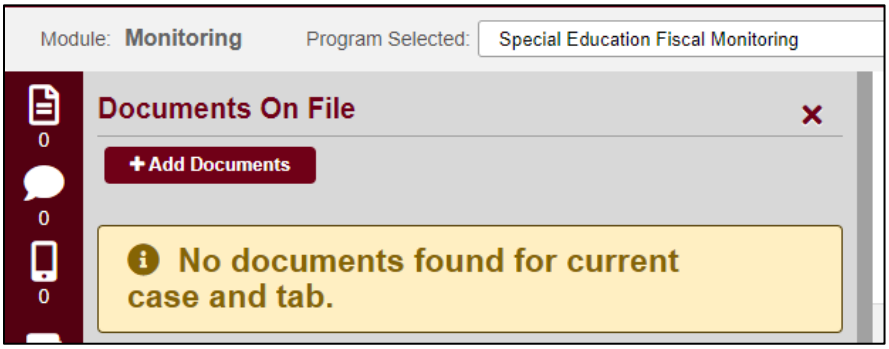
Documents may be uploaded to individual questions as supporting documentation for that question. Documents may also be uploaded from the Overview tab; however, uploading from the Overview tab will not associate that document with a particular question.

UPLOAD PROCEDURE

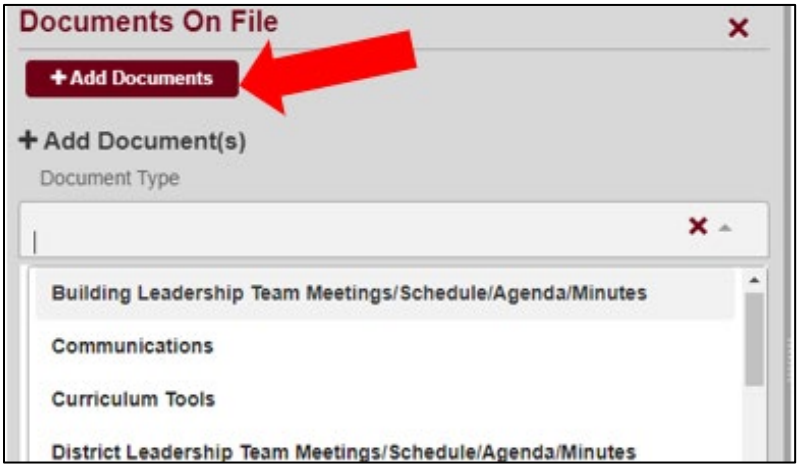
1. When uploading a document, please name the document file to match the corresponding question. Example: Documentation must be uploaded to Question 1 in the Public Participation section to demonstrate that a district has provided the opportunity for public comment. A meeting agenda is uploaded as documentation; the district names the document "Meeting Agenda for IDEA Opportunity for Public Comment."
2. Documents may be uploaded to individual review. Navigate to the **Questions** Tab. Clicking on a specific question will highlight the question area light yellow. Each question has a button for uploading documentation at the bottom of the question.



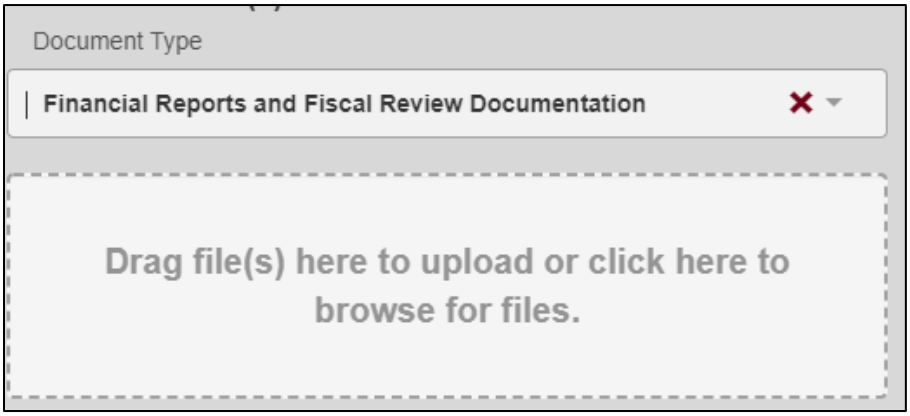
3. Clicking on this button will open the **Documents on File** area for this specific question to the left side of the browser.



4. Click on **Add Documents**. A drop down to select the **Document Type** appropriate to the document being uploaded will appear. Select the Document Type.



5. Once a **Document Type** is chosen, a box will populate. Files can be dragged from the Desktop or from the computer File Explorer to the box for uploading; in addition, clicking on the box will open an upload screen. Locate the required document file saved locally in the district's records and double-click on the name to select the file. The file upload must have one of the file extensions listed under **Queue Progress.**

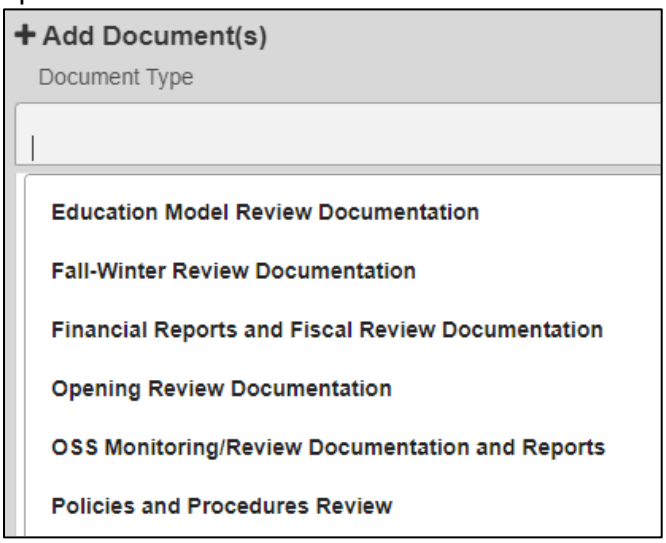


When the correct document is selected, **assure that the file name(s) appropriately identifies the contents. Please avoid using numbers in the document title**. Clicking **Open** or **Okay** on the upload screen will upload the document to the fiscal review.

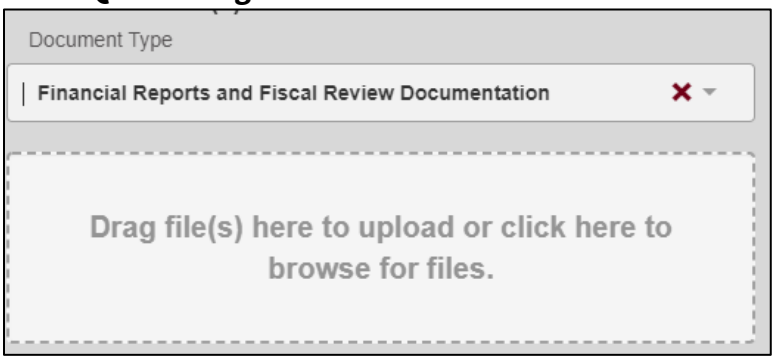
6. Documents uploaded will display in the **Documents on File** area for the specific question; in addition, they will be found in the **Overview Documents on File** area located by using the **Document** icon on the left side of the screen.
Note: Please upload all the requested documents on the FY24 Required Documents for Fiscal Onsite & Desk Reviews list.
If there is a question about the applicability of a document, or if it is unclear what information is required, the district/community school should contact the assigned Education Program Specialist for guidance.
7. Repeat this process until all the required documents on the list are uploaded.
8. Documents can also be uploaded to the **Overview** tab if the document(s) do not need to be associated with a specific question. Go to the Overview tab and select the **Document** icon on the left side of the screen in the red bar. This will extend open a box to **Add Documents.**



9. Click on the **Add Documents** button. Choose the **Document Type** from the dropdown options.

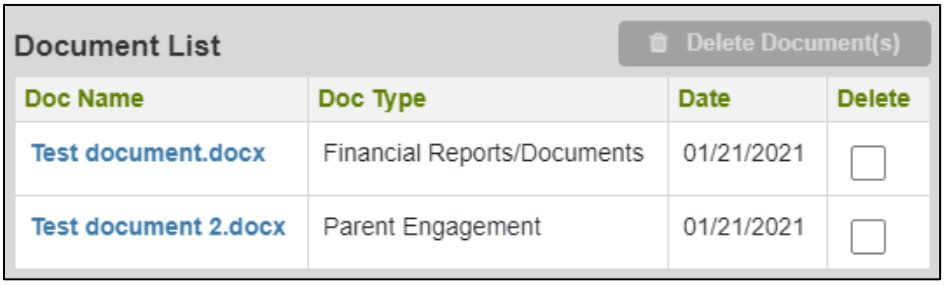


10. Once a **Document Type** is chosen, a box will populate. Files can be dragged to the box for uploading; in addition, clicking on the box will open an upload screen. Locate the required document file saved locally in the district's records and double-click on the name to select the file. The file upload must have one of the file extensions listed under **Queue Progress.**



When the correct document is selected, **assure that the file name(s) appropriately identifies the contents. Please avoid using numbers in the document title**. Clicking Open or Okay on the upload screen will upload the document to the fiscal review.

11. Repeat this process until all the required documents on the list are uploaded.
12. A summary list of all documents uploaded to the fiscal review can be found in the **Documents on File** area.



Monitoring Comments

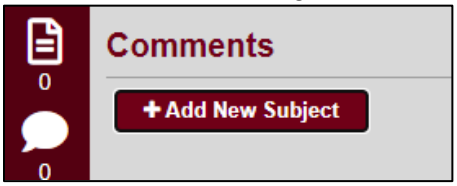
Monitoring comments facilitate communication between the district/community school and the assigned Education Program Specialist conducting the review.

ADDING COMMENTS

1. General Monitoring comments may be added on the **Overview** tab. These comments will not be associated with any specific question. Navigate to the **Overview** tab and select the Comment icon on the left side of the screen in the red bar.



2. Clicking on this button will open the **Comments** area to the left side of the screen. Click on **Add New Subject.**



3. Enter a Title and the comment body. Then click **Add New Subject** to submit the comment.

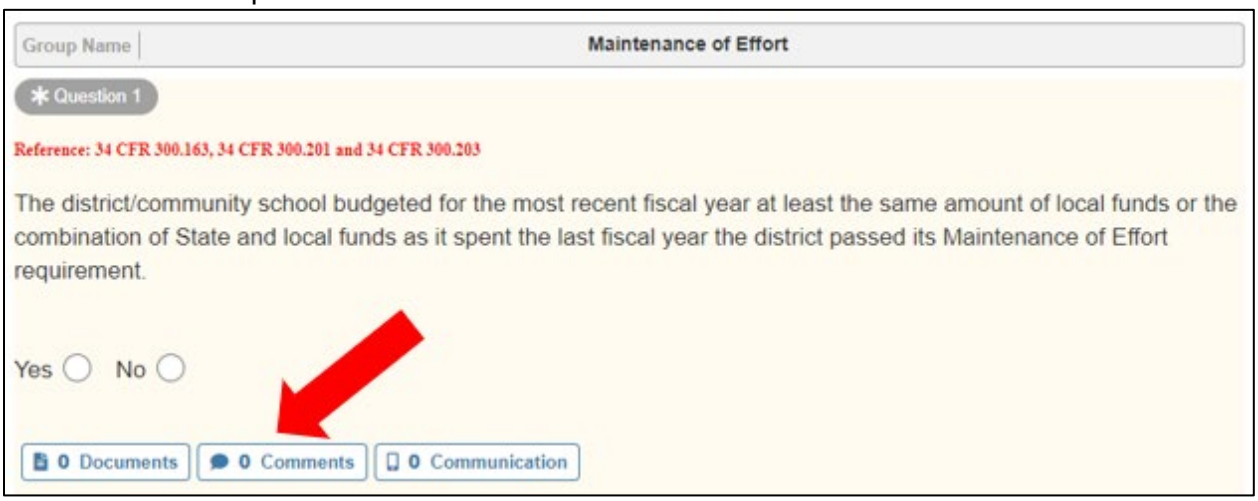


4. Replies can be added to comments by clicking on the green **replies** button to the right side of the comment. Type the response and then click **Reply.**



Department of Education & Workforce

5. Comments related to a specific question in the survey may be added directly to a question. Navigate to the **Questions** tab. Clicking on a specific question will highlight the question area light yellow. Each question has a button for creating comments at the bottom of the question.

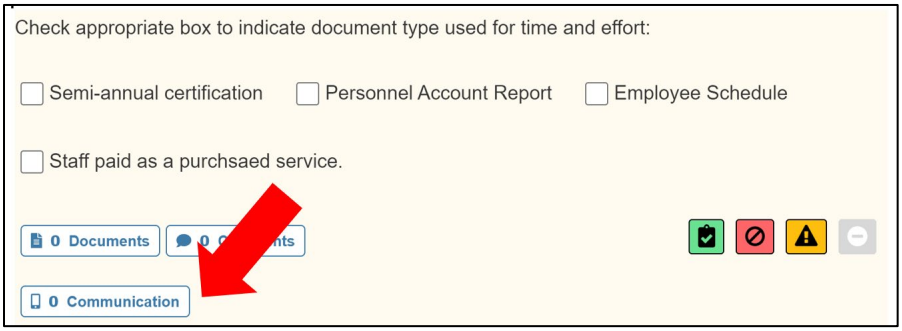


6. Comments added to survey questions will be available in the **Comments** area for that specific question as well as on the **Overview** tab under the **Comments** Icon.

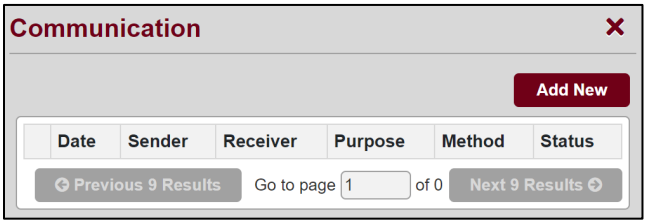
Communications

The Communications function provides an additional way for districts and the Department to discuss the fiscal monitoring process. First, the Communication function allows districts and the Education Program Specialist to send emails related to questions in the Monitoring System. These Communications are saved by the system. Second, the Communications function can be used to track and document phone calls or emails exchanged outside of the Monitoring System.

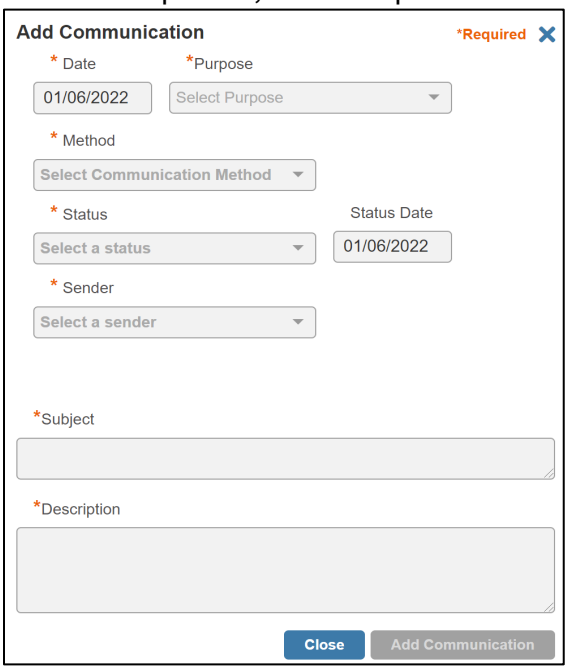
1. Navigate to the **Questions** tab. Clicking on a specific question will highlight the question area light yellow. Each question has a button for creating a communication at the bottom of the question.



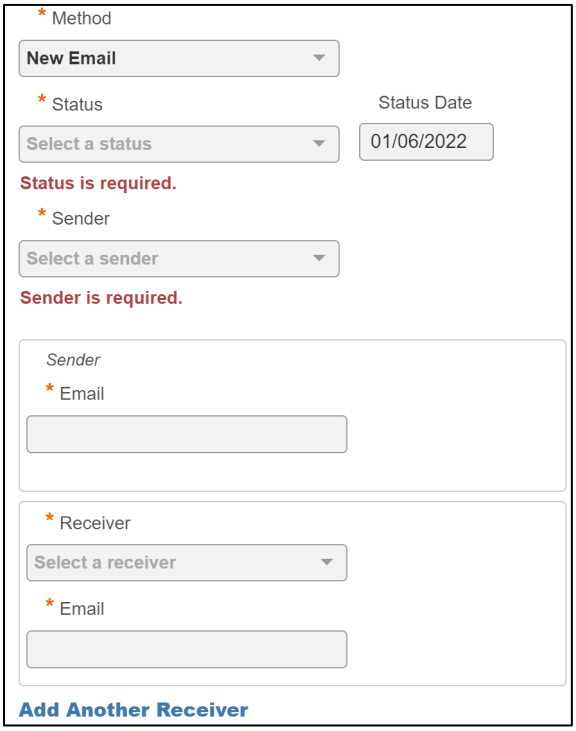
2. Clicking on this button will open the **Communications** area to the left side of the screen. Click on **Add New.**



3. Complete the form. If the district or consultant wishes to document a phone call or email exchanged outside of the Monitoring system, choose **Phone** or **Email** in the **Method** dropdown, then complete the form.



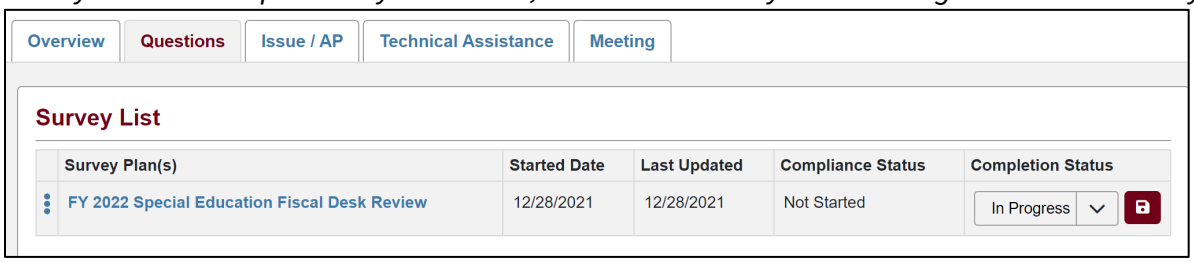
4. If the district wishes to use the Communication function to send an email, choose **Send New Email** as the **Method** and enter the email of recipient in the Receiver box. To include multiple recipients, choose **Add Another Receiver.**



Questions

The **Questions** tab displays the survey(s) assigned to a district/community school by the Department by fiscal year. All responses are completed by the assigned Education Program Specialist. The user navigates through the survey sections to review questions related to programmatic and fiscal categories and upload supporting documentation.

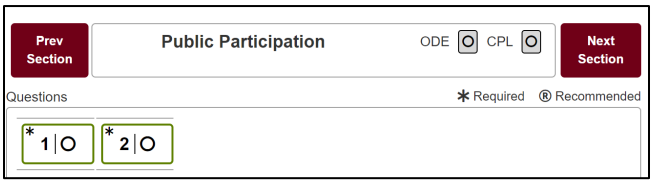
To access a specific survey, click on the survey title located under the Survey Plans area of the **Question** Tab. The selected survey is shaded grey, with the survey sections and questions now visible below. *(Note: The system automatically defaults to the first survey listed under Survey Plan. If multiple surveys are listed, click on the survey title to navigate between surveys*).



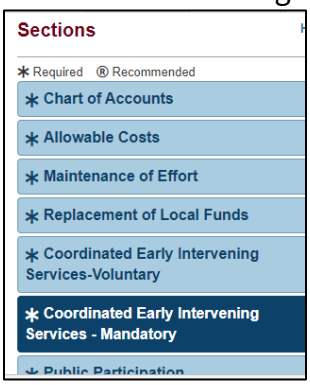
1. The survey will be available once it is placed in the “In Progress” status by the Department. The user then can navigate between the survey sections and questions to begin uploading the required documentation utilizing the **Add Document** functionality. All responses are completed by the assigned Education Program Specialist.
2. The system populates the survey questions for the district/community school based upon the type of review assigned. The required documentation that will be examined

as part of the fiscal review process are aligned to the questions in the survey. Each question includes applicable legislation in red text.

3. The **Questions Bar** identifies the total number of questions to be answered by section. The user can navigate between sections using the red **Prev Section** or **Next Section** buttons above the Questions Bar.



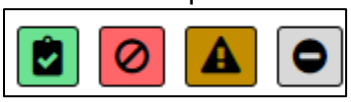
4. The survey questions are divided into sections displayed on the left side of the screen. The section title is highlighted dark blue when selected.



5. Once documentation has been uploaded by the district/community school, the assigned Education Program Specialist will review the questions in each section and check the appropriate response box for each question. District/community schools cannot respond to the questions.
6. The **Questions Bar** identifies the total number of questions by section. As questions are completed, the question number turns green along with a check mark. Survey sections also may have Question Groups that organize questions within a similar topic. These groups are displayed with horizontal lines above and below the set of questions (for example, see questions 1 through 5 below).



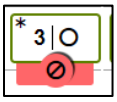
7. Based upon the evidence received from the district, the Education Program Specialist will select one or more of the icons in the **Monitoring Status** area in the lower right corner of the question to indicate the outcome of their review.



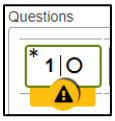
   a) If the evidence demonstrates compliance, the question will display a green icon in the **Questions Bar.**



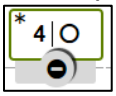
b) If the evidence demonstrates noncompliance, the question will display a red icon in the **Questions Bar**. The Education Program Specialist will enter more detailed information for the district under the **Issues/APS** tab.



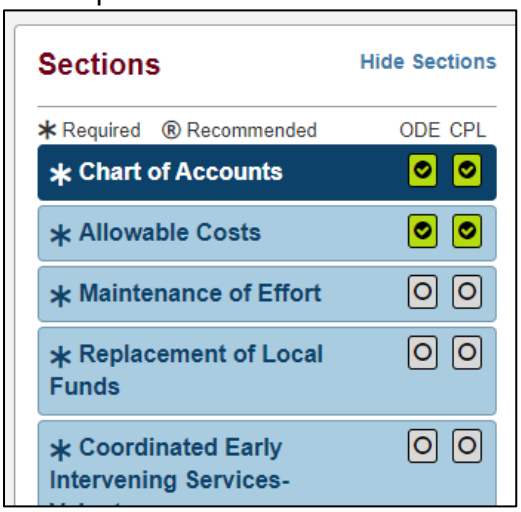
c) If technical assistance is required, the question will display an orange icon in the **Questions Bar**. The Education Program Specialist will enter more detailed information for the district under the **Technical Assistance** tab.



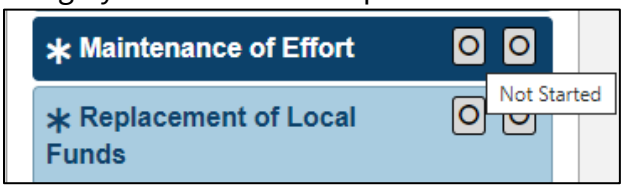
d) If the question does not apply to the district/community school, the question will display a gray icon.



8. Two columns of colored icons track the Education Program Specialist's progress during the review. The left column, titled **ODE,** tracks the completion of the responses to the questions within the section.



a) The gray icon indicates no questions in the section have responses.



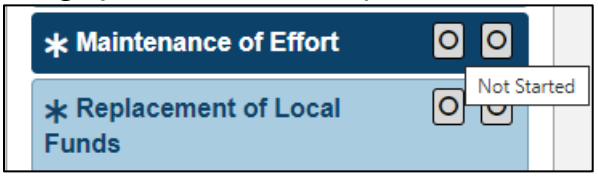
b) The blue icon indicates that questions are in the process of completion.



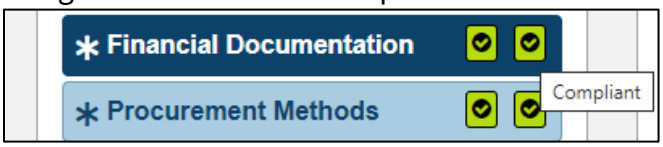
c) The green icon indicates that all questions in the section have responses.



9. The right column, titled **CPL**, indicates the compliance status within the section.
   a) The gray icon indicates no questions in the section have responses.



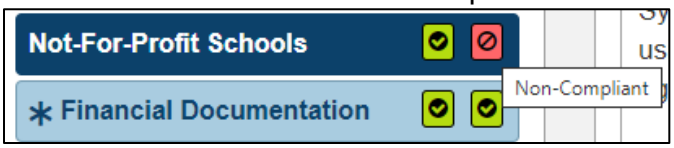
   b) The green icon indicates all questions in the section are compliant.



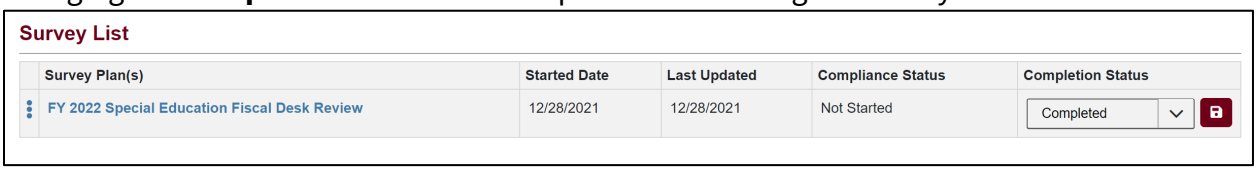
   c) The orange icon indicates that at least one question required technical assistance.



   d) The red icon indicates at least one question in the section is noncompliant.



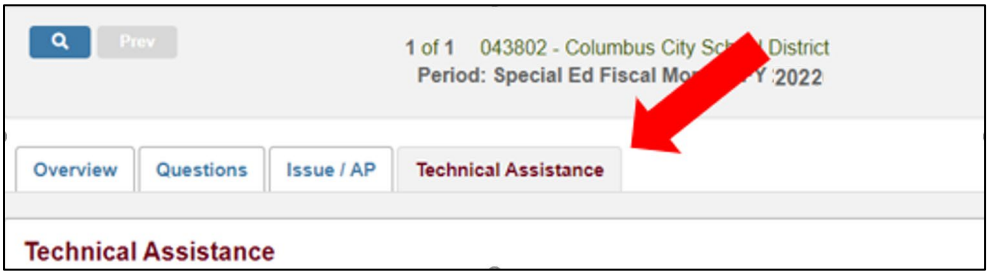
10. When the review is complete, the Education Program Specialist will close the review by changing the **Completion Status** to "Completed" and saving the survey.



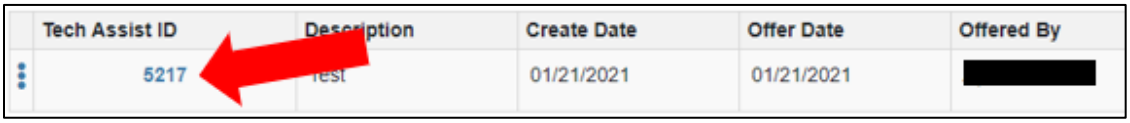
Technical Assistance

During the review process, the Education Program Specialist may need to provide technical assistance to the district.

1. Technical assistance will be documented on the **Technical Assistance** tab.



2. To view a Technical Assistance and its details, click on the highlighted **Tech Assist ID** on the left side of the screen.

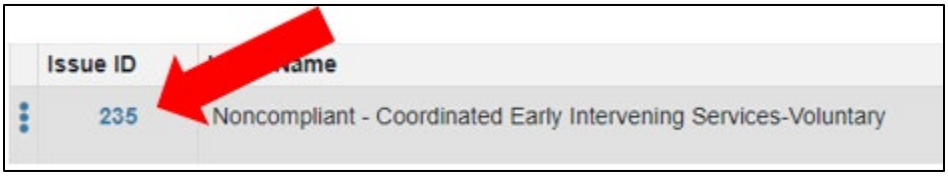


3. Specific details about the areas of concern are available in the **Technical Assistance Details Description** box. The technical assistance details contain items that need to be corrected prior to the completion of the review or assistance to prevent the district from being found noncompliant in future reviews. For example, function codes may not accurately reflect the activity a person performs or the special education purpose of the expenditure.
4. The district is able to identify who is offering the assistance in the **Offered By** boxes.
5. Documents, Comments, or Communications can be made for any Technical Assistance.

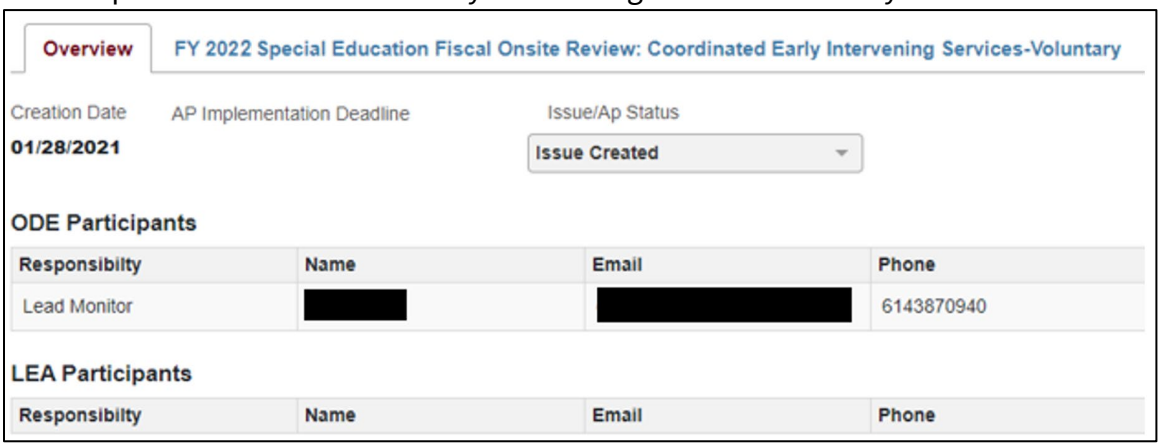
Issues & CAP

During an intensive or desk fiscal review, when the Education Program Specialist identifies a specific area reviewed is noncompliant, the district is required to complete a **Corrective Action Plan** (CAP).

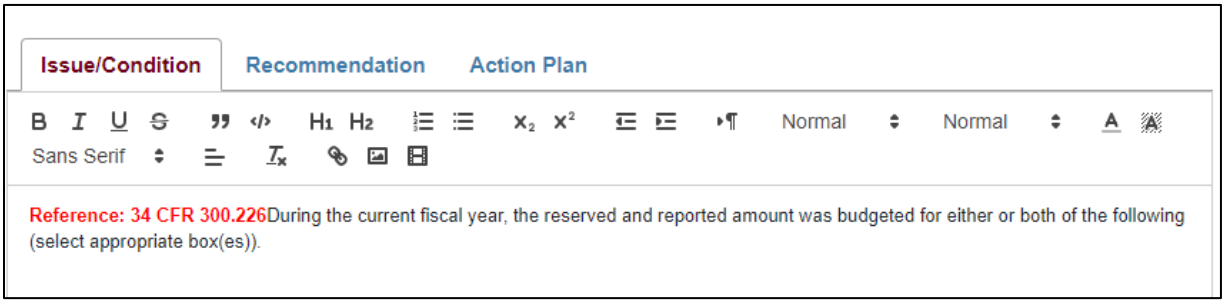
1. The systemic issues are identified on the **Issue/AP** tab. Each issue will have an Issue ID, Issue Name, Source, Creation Date, Issue/AP Status, and Action. To view an Issue and its details, click on the highlighted **Issue ID** on the left side of the screen.



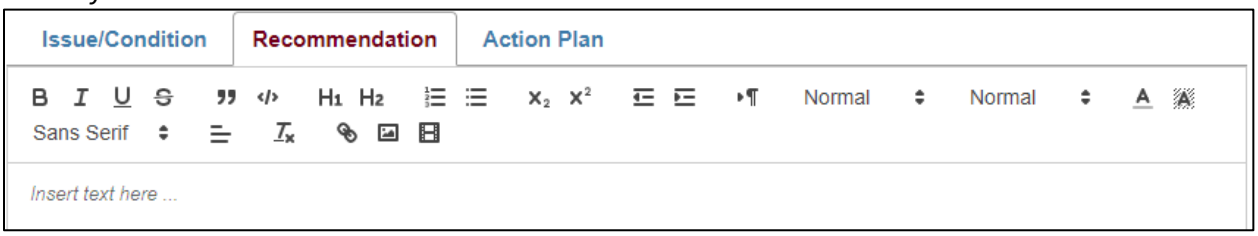
2. The **Overview** tab contains the components of the Corrective Action Plan (CAP) process. It identifies the **Creation Date, Issue/AP Status,** and **Participants,** as well as providing a box with the **Issue/Condition, Recommendation, and Action Plan** details. The tab to the right is the area of noncompliance. In this example, the area of noncompliance is Coordinated Early Intervening Services-Voluntary.



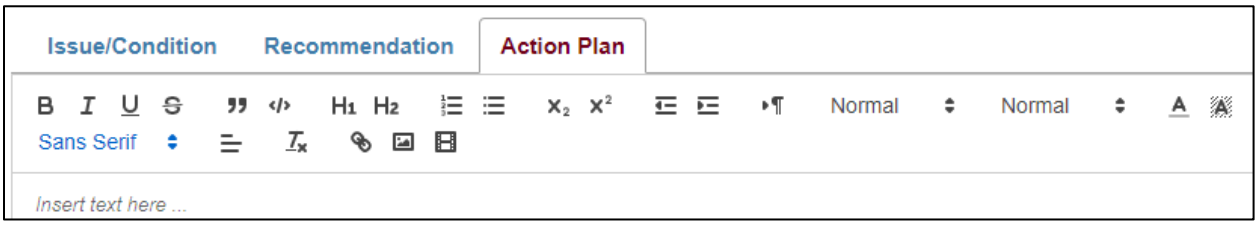
3. The tab **FY2023 Special Education Fiscal Onsite Review: Coordinated Early Intervening Services- Voluntary** in this example, will display the survey question reviewed for this control area.
4. The **Issue/Condition** tab provides the legal citation related to the specific issue.



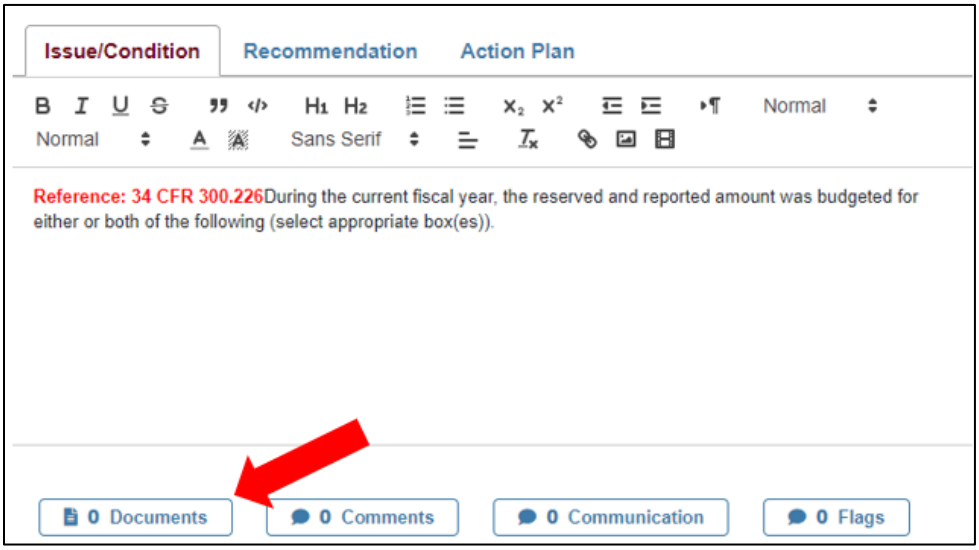
5. The district will add a corrective action plan (CAP) for each identified **Issue/Condition.** To begin the CAP process, the district will need to review the Recommendation tab to identify the areas that need to be addressed.



6. The **Action Plan** tab permits the district to enter their planned action steps to correct the noncompliance. When the action plan for this particular issue is complete, click the **Save** button.



7. The CAP will need to be submitted to the Department for review. Change the **Issue/AP Status** to **AP Submitted**. The Office for Exceptional Children will review the CAP and approve or send the CAP back to the district for further revision. This process will be completed for each issue.
8. Documentation of evidence supporting the CAP may be uploaded to the Issue/CAP by using the Documents button at the bottom of the Issue/CAP to **Add Documents**. **Comments** and **Communications** can also be entered associated with the Issue/CAP here.



Upon completion of the review and/or the CAP, the district will be notified of the completion and of the status of the review. All reviews must culminate with districts being determined to be Compliant. The duration of the review is dependent upon the district's ability to document current practices and procedures that meet state and federal regulations and demonstrate that the district has taken steps to correct any findings of noncompliance.