# SECTION 6: REPORTING AND MONITORING FOR EFFECTIVENESS

OREGON
**DEPARTMENT OF EDUCATION**

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# SECTION 6: REPORTING AND MONITORING FOR EFFECTIVENESS

## Section Snapshot

This section outlines the reporting cycle and how grantees are asked to report on various performance measures through quarterly and annual reporting, including sharing with your community and governing board.

Monitoring is a term used by federal programs and more broadly in the state related to general program evaluation. It can then hold several meanings. Monitoring is intended to be a collaborative partnership between ODE and grantees to ensure compliance with federal and state rules and requirements. It can be conducted formally and lead to corrective action, and it can be conducted through formative evaluation processes that support quality implementation. Progress for all grantees will be reported and monitored through the following processes:

1. **PROGRAMMATIC AND FINANCIAL PROGRESS REPORTS**
2. **ANNUAL REPORT**
3. **ANNUAL PERKINS MONITORING**
4. **ANNUAL FINANCIAL AUDIT**
5. **PERFORMANCE AUDIT**
6. **PERFORMANCE REVIEWS**

## PROGRAMMATIC AND FINANCIAL REPORTING

Reporting for all programs under this guidance will be completed through one report submission on a quarterly basis, where recipients will detail their progress and spending on outcomes, strategies and activities of their integrated application. Reporting will be submitted through the Reporting and Application Dashboard (RAD) in Smartsheet. Recipients will receive a reminder with the link to the reporting dashboard and instructions via Smartsheet each fall prior to the first reporting window opening and additionally every quarter thereafter.

Grantees should be prepared to include the quarterly expenses for each programmatic funding stream for each budgeted activity. Additionally, grantees will be required to submit an update on the status of activity implementation through brief narrative responses and report on Progress Marker status through a dropdown menu.

CTE Regional Coordinators and ESD Liaisons can have access to grantee's RAD, when requested by the grantee, to help inform and support regional work.

## ANNUAL REPORT

Several statutes and rules[59] require grantees to complete a progress review on an annual basis for all programs included in the integrated application[60]. The annual report will ask recipients to review and provide information regarding:

- Implementation efforts across programs;
  - Early Literacy specific:
    - The number and percentage of teachers for early elementary grades receiving professional development;
    - The number and percentage of students participating in early literacy extended learning programs, at the school and

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59    The statutes and rules include: ORS 327.892 (HSS), ORS 327.889 (HSS), OAR 581-013-0035 (HSS), ORS 327.201 (SIA), and OAR 581-017-0672 (EIIS).
60    Including school-level plans required through Federal School Improvement.

the district level and their outcomes disaggregated by student group and by grade level;

- The number and percentage of students participating in early literacy high-dosage tutoring and their outcomes disaggregated by student group and by grade level;
- Inventory of literacy curricula including assessments, tools, and digital resources;
  - Evidence that teachers and administrators are provided with professional development for using and implementing (with fidelity and research-aligned literacy strategies) the literacy curricula, assessments, tools, and digital resources in the inventory;
  - The curricula being used by the recipient;
- Progress with LPGTs and local metrics;
- How their strategies worked (or didn't); and
- Substantiate changes within progress markers.

The annual report questions and guidance will be added to the recipient's RAD prior to the fourth quarter reporting period each year. In addition to narrative responses that describe progress towards implementation efforts, grant recipients will also provide updates on their work towards reaching their Longitudinal Performance Growth Targets and local metrics.

The annual report serves as the review for implementation. In order to complete the review, a few steps need to be taken:

1. The annual report must be posted to the grantee's webpage[61];
2. The annual report must be presented to the governing board at an open meeting with the opportunity for public comment (not a consent agenda item);

The annual report is a chance to reflect on the whole of what you've learned and any impact you are seeing. It's also an opportunity to share an update with your students, parents, and community.

## REPORTING DUE DATES

| Reporting Window[62] | Period Covered | Included in the Progress Report |
|---|---|---|
| October 1 - November 15 | Quarter 1 | Expenditure Report for Quarter 1<br>Budget Update for Current Year<br>Notice of NonDiscrimination[63] |
| January 1 - February 15 | Quarter 2 | Expenditure Report for Quarter 2<br>Financial Audit Board Minutes<br>Status of Progress Markers |
| April 1 - May 15 | Quarter 3 | Expenditure Report for Quarter 3 |
| July 1 - August 15 | Quarter 4 | Annual Report, inclusive of Early Literacy Data and Status of Progress Markers<br>Expenditure Report for Q4<br>Federal School Improvement Progress Update[64] |

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61   There is not a required format for recipients when presenting their annual report questions and responses to the community and board. Grantees may post the annual report questions and responses in a slide deck, downloaded from Smartsheet, or in any other format that is accessible to the community and board. Recipients can satisfy the annual report approval requirement by providing ODE with the board meeting minutes and URL showing where the annual report questions and responses are posted.

62   While specific grant program end dates may vary, quarterly and annual reporting dates will remain aligned.

63   This is required for those who do not have it on their website.

64   Federal School Improvement Progress Updates are for all identified schools.

## ANNUAL PERKINS MONITORING

Under section 211 of the Strengthening Career and Technical Education for the 21st Century Act (Perkins V), and section 200.329 of the Education Department General Administrative Regulations (EDGAR), ODE and the Higher Education Coordinating Commission (HECC) are required to conduct programmatic and fiscal monitoring.  A risk assessment is conducted to identify those recipients that will require monitoring.  This process is described in the Oregon CTE Policy Guidebook.

## ANNUAL FINANCIAL AUDIT[65]

All districts are required to submit an annual Financial Audit to ODE; however, only those grant recipients of SIA funding will be required to submit an annual financial audit. Under Section 15 of the Act, SIA recipients are required to conduct a financial audit in accordance with the Municipal Audit Law[66], which includes consideration of SIA compliance and reporting. The audit is structurally designed to be embedded in the school district or eligible charter school's annual financial audit, and is similar to work performed for the State School Fund (e.g. considering high-risk areas such as ADM, Transportation Grant and others)[67]. To assist with audit planning, ODE has published the Suggested Financial Audit Procedures.

The annual financial audit for SIA must be:

- Made available at the main office of the grant recipient and on the grant recipient's webpage;
- Presented to the governing board of the grant recipient at an open meeting with the opportunity for public comment on the results; and
- A copy of the financial audit and board meeting minutes will need to be forwarded to ODE.

## PERFORMANCE AUDIT[68]

ODE is required by law to conduct performance audits on a random or just cause basis, with rules[69] adopted by the State Board of Education. Based on these prevailing rules, up to ten grantees can be selected randomly for a performance audit. An additional ten grantees annually can be selected on a just cause basis for a performance audit. Once a grantee is selected randomly or meets the criteria for a just cause audit, the governmental auditors will conduct the performance audit in conjunction with the grantee.

## PERFORMANCE REVIEWS[70]

Performance Review rules[71] have also been set by the State Board of Education and are required of SIA grantees every four years. The first SIA Performance Review covers the initial three-years of plan execution, and will be due in Fall, 2025. The next Performance Review will be due during the 2027-28 school year, and will cover the 2023-24, 2024-25, 2025-26, and 2026-27 school years.

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65 Not required for those not eligible for SIA funds.
66 https://oregon.public.law/statutes/ors_297.405
67 The discretion and levels of testing and materiality remain with the auditors
68 Not required for those not eligible for SIA funds.
69 OAR 581-014-0016
70 Not required for those not eligible for SIA funds.
71  OAR 581-014-0013