



# OSEP's Fiscal Focus in an Era of Results Driven Accountability

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# Part 1

## Conference Theme: Leveraging Funds, Fiscal Processes, and Data to Improve Results

How do we make this happen?

What is OSEP doing?

# History and Background of OSEP's FIT



- Creation of Audit Team
- Hiring of Recovery Act Facilitators
- Creation of Fiscal Workgroup, now FIT
- FIT's staff have program, *not* fiscal background
  - All still involved in program work
  - Keeps us grounded and connected to program

# From One Size Fits all to Differentiated Monitoring and Support (DMS)



- May 2016, issued final fiscal monitoring letter from previous round
- 2016 transition to DMS approach
- Full DMS cycle from October 2016 to September 2017
  - Intensive TA: conducted Intensive Fiscal Monitoring Visits
  - Targeted TA: continuing ongoing assistance to States (audits, fiscal monitoring findings, special conditions)
  - Universal TA: OSEP Leadership Conference, other conference presentations, Webinars: <https://osep.grads360.org/#program/fiscal>

# DMS Process



Replaces cyclical, one size fits all monitoring with monitoring and support based upon needs of State and best use of OSEP resources.

- Starts with Organizational Assessment in key areas (risk to Department and IDEA)
- Evaluates additional factors about State and OSEP resources (engagement decision tree)
- Leads to designation of intensive, targeted or universal in each key area

# DMS Organizational Assessment (OA)



Each State is scored based on a rubric in the following areas:

- Results
- Compliance
- Fiscal
- SSIP

# Decision Tree Examples - Universal



## Results State ABC:

Determination Matrix Percentage	Any factors that may contribute to elevated risk	TA Accessed	State Capacity to Improve Results	Additional data needed	Final IT recommendation re: level of monitoring and TA
81	Low scores on NAEP in 8 <sup>th</sup> grade; no data submitted	Contract with TA Provider on assessments; engagement with outcomes collaborative; NCSI involvement	Stable leadership Work collaboratively with Title programs Engaged in improvement activities	Data weren't submitted because there was a data breach SiMR tied to reading	<b><u>Universal – State score is green;</u></b> is addressing concerns raised in decision tree and, have infrastructure to continue to carry out the work and sustain

# Decision Tree Examples – Universal (continued)

## Results State XYZ:

Determination Matrix Percentage	Any factors that may contribute to elevated risk	TA Accessed	State Capacity to Improve Results	Additional data needed	Final IT recommendation re: level of monitoring and TA
20	Poor NAEP and Statewide assessment scores	Has not accessed TA outside what is provided within the State	Fragmented systems in place Significant leadership turnover Lack of staff	Acceptable inclusion rates on some assessments	<b><u>Intensive – coordinate multiple TA providers.</u></b> Consider cross-program involvement.



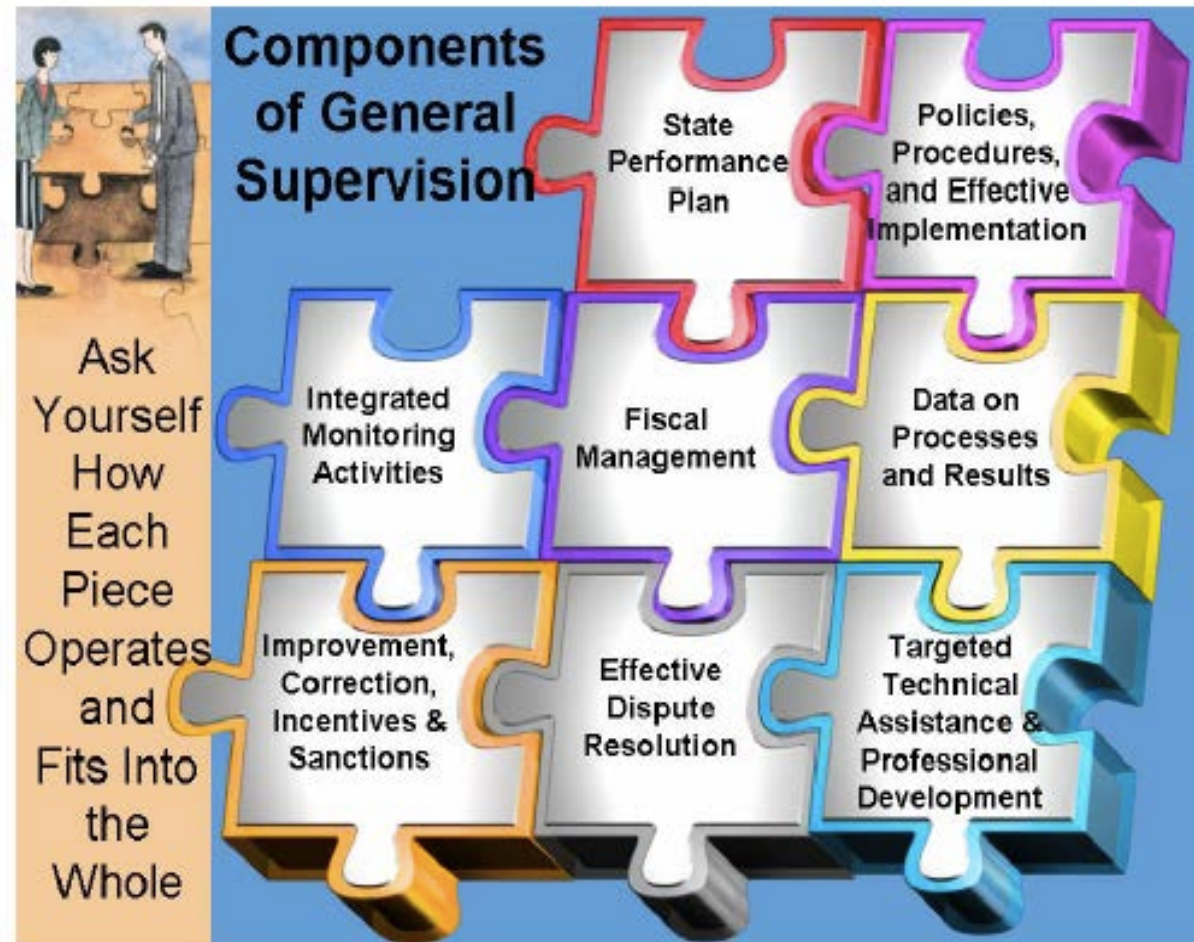
# Part II

## Conference Theme: Leveraging Funds, Fiscal Processes, and Data to Improve Results

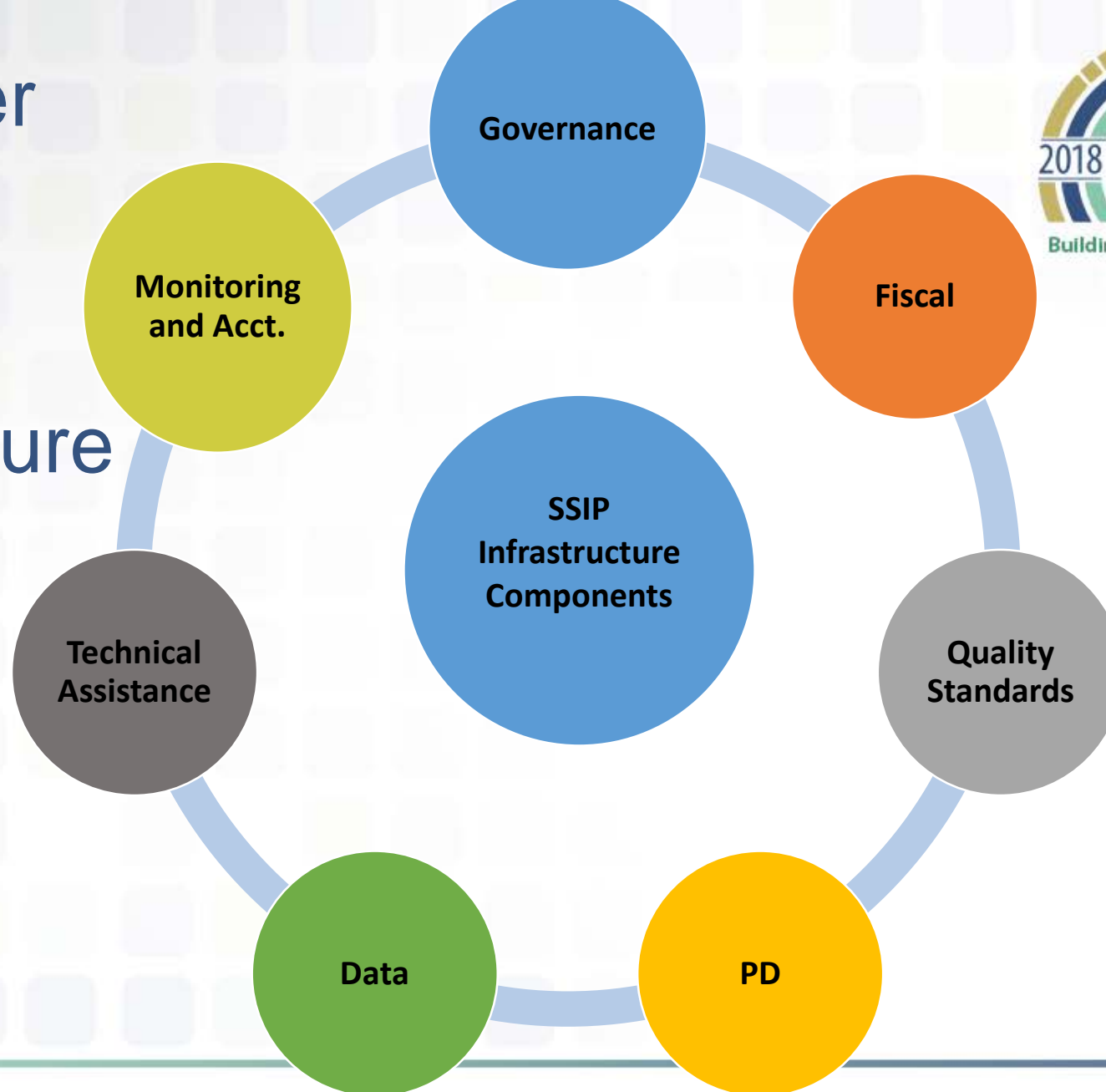
How to make this happen?

What could States be doing??

# How does the fiscal work fit in your general supervision system?



Did you consider fiscal structures when you completed your SSIP Infrastructure Analysis?



# How are you using your IDEA Part B funds?



## Flow of funds in FY 2017

- States reserved \$230.7 million for State administration (96% of maximum)
- States reserved \$1.1 billion for Other State-level activities (95% of maximum)
- The remaining \$10.5 billion was allocated to LEAs

# How are you using your State admin funds and State-level activities funds?



\*\*Monitoring, enforcement, complaint investigation, and mediation

Support and direct services

Paperwork reduction

PBIS

Technology

Assistive technology

Transition services

Personnel shortages

Capacity building

Students expelled or in corrections, in charter schools, or state-supported schools

Accommodations

Comprehensive or targeted support and improvement

High cost fund

\*\*Required use of funds

# Average allocation of State administration funds, FY 2017



Allowable use of funds	Average % of funds for this purpose
Administration of Part B program	95%
Administration of Part C program	1%
Direct services/technical assistance	2%
PBIS	1%
Personnel shortages	0%
Capacity building	1%
Administering Part C option	1%

# Other State level activities, FY 2017



## Of the funds reserved for other State level activities

- \$118.3 million (11%) were used on mandatory activities (monitoring/enforcement, complaint investigation, mediation)
- \$61.8 million (6%) was used for a high cost fund
- \$943.5 million (83%) was used on other activities

# Other State level activities, FY 2017 (continued)



**Controlling for the size of States, the “average” State allocated their Other State level activities funds in the following way:**

- Direct services/TA – 25%
- Capacity building – 14%
- Monitoring/assessment – 12%
- Accommodations/alt assessments – 8%
- TA to CSI/targeted schools – 7%
- All other uses – 34%

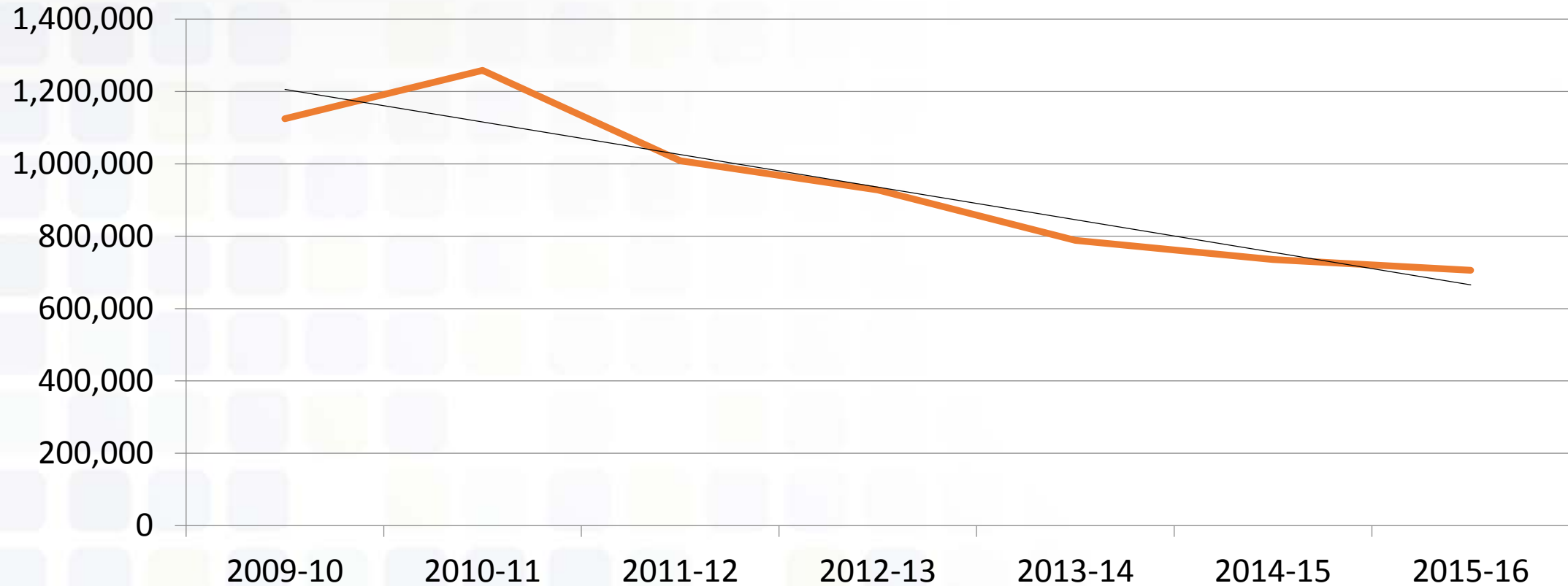


# Are you providing support to LEAs/ESAs in using CEIS funds?

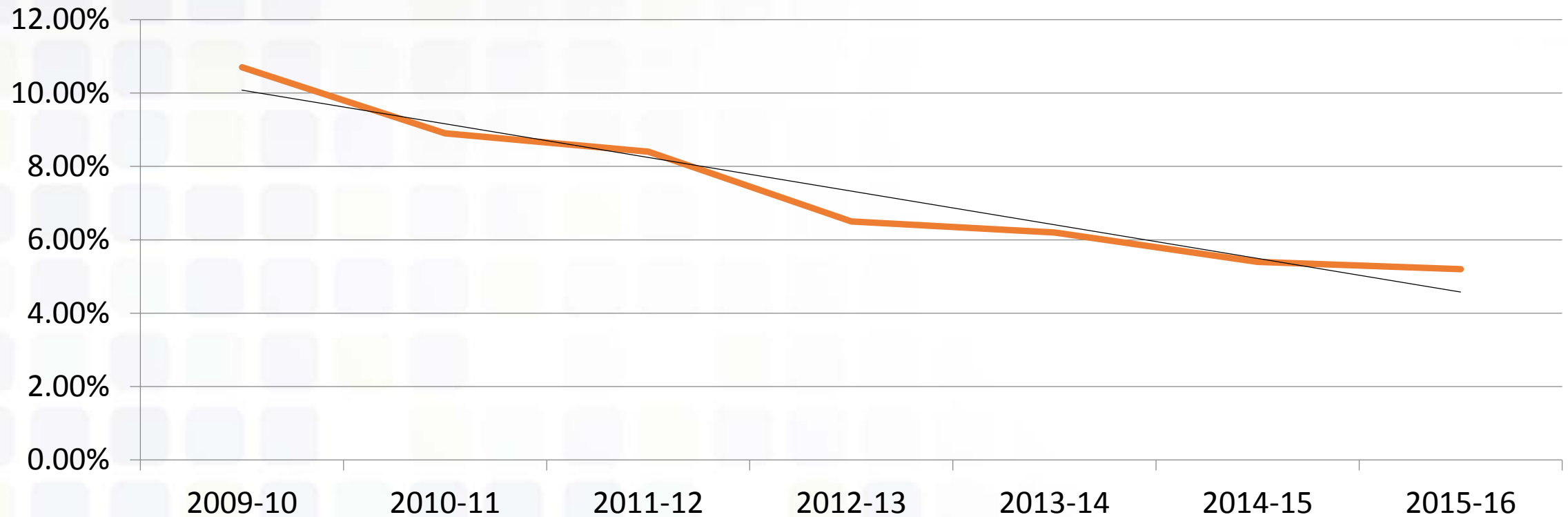


	FFY 2009/ SY 2009-10	FFY 2010/ SY 2010-11 <sup>1</sup>	FFY 2011/ SY 2011-12 <sup>1</sup>	FFY 2012/ SY 2012-13 <sup>1</sup>	FFY 2013/ SY 2013-14 <sup>1</sup>	FFY 2014/ SY 2014-15 <sup>1</sup>	FFY 2015/ SY 2015-16 <sup>1</sup>
<b>Number of LEAs/ESAs required to reserve funds for CEIS due to significant disproportionality</b>	405 out of 14,944 (2.7% of <u>all</u> LEAs/ESAs)	356 out of 15,048 (2.4% of all LEAs/ESAs)	345 out of 14,797 (2.3% of all LEAs/ESAs)	491 out of 14,813 (3.3% of all LEAs/ESAs)	450 out of 15,151 (3.0 % of all LEAs/ESAs)	457 out of 15,225 (3.0% of all LEAs/ESAs)	423 Out of 14,769 (2.9% of all LEAs/ESAs)
<b>Number of LEAs/ESAs that voluntarily reserved funds for CEIS</b>	1,593 out of 14,944 (10.7% of all LEAs/ESAs)	1,337 out of 15,048 (8.9% of all LEAs/ESAs)	1,242 out of 14,797 (8.4% of all LEAs/ESAs)	970 out of 14,813 (6.5 % of all LEAs/ESAs)	938 out of 15,151 (6.2 % of all LEAs/ESAs)	828 out of 15,225 (5.4% of all LEAs/ESAs)	770 Out of 14,769 (5.2% of all LEAs/ESAs)
<b>Number of children who received CEIS during reporting period</b>	1,124,953	1,258,763	1,008,488	928,275	788,584	735,406	706,061

# Number of Children Receiving CEIS (w/trend line)



# % LEAs/ESAs that voluntarily reserved funds for CEIS (w/trend line)



# LEAs want more targeted TA to support their implementation of CEIS\*



- Guidance on implementing effective CEIS
  - Exemplars of best practice for CEIS programs
  - Targeted programmatic support
  - Appropriate and effective use of CEIS funds
  - Using CEIS data to determine program effectiveness
- Strategies for student and financial tracking
- Federal requirements and state procedures
- Interactive assistance, e.g., assigned staff or dedicated area within SEA, opportunities to network with other LEAs

\* Survey and interviews completed by IDC

# Progress



## Federal level

- No States identified with MFS failures based on 2017 applications
- Fewer letters to States based on Table 8 data (LEA MOE or CEIS failures/potential failures)
- Collaboration with other offices in ED – charter schools, proportionate share/equitable services, Title I, Pre-ETS, etc
- Tools and resources from CIFR

# Progress



## State level

- Better understanding/engagement in IDEA fiscal requirements
- More communication and collaboration across the “fiscal office” and the “program office”
- States are looking at Systems Alignment and Results Based Accountability, including fiscal in those conversations

# Progress (continued)



## Federal and State level

- Partnership between OSEP staff and State staff
- Open communication
- Recognition of the challenges inherent in this work

**Keep it up!**

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