



# **TIERED MONITORING SYSTEM**

## **SPECIAL EDUCATION FINANCE SELF-ASSESSMENT & DESK MONITORING**

November 2017

Missouri Department  
of Elementary and Secondary Education

# TIERED MONITORING SYSTEM

- The Department utilizes a web-based application called the Tiered Monitoring System in order to complete the Tiered Monitoring Process
- The Tiered Monitoring System is located on the DESE Web-Applications page
- Users must have the appropriate authority to access the system
  - Instructions for obtaining access to **both** the Tiered Monitoring System and the Special Education Finance Desk Monitoring can be found in **Appendix B** of the Special Education Fiscal Monitoring Guide at <https://dese.mo.gov/sites/default/files/sef-MonitoringGuide2018.pdf>.



# TIERED MONITORING SYSTEM

- The Tiered Monitoring System fulfills both state and federal monitoring requirements.
- Monitoring for all federal programs is found in this one system.
- Tiered Monitoring System Objectives:
  - Reduce the time spent in districts/LEAs conducting on-site reviews
  - Improve quality and efficiency of on-site reviews
  - Increase the number of districts/LEAs given formal review
  - Improve the quality of district/LEA compliance
  - Establish processes to target technical assistance and training needs



# TIERED MONITORING CYCLE

- Districts/LEAs are sorted into three Cohorts (groups)
- Cohorts will move through the Tier Levels from year to year
- Levels of the Tier Monitoring Cycle
  - Annual Risk Assessment
  - Desk Audit/Application Review
  - Tier 1: Self-Assessment/Desk Monitoring
  - Tier 2: On-site Monitoring
  - Tier 3: Training and Preparation

TIER LEVEL	2017-18	2018-19	2019-20
Annual Risk Assessment	<b>All Cohorts</b>	All Cohorts	All Cohorts
Desk Audit & Application Review	<b>All Cohorts</b>	All Cohorts	All Cohorts
Tier 1: Self-Assessment/Desk Monitoring	<b>Cohort 1</b>	Cohort 2	Cohort 3
Tier 2: On-site Monitoring	<b>Cohort 3</b>	Cohort 1	Cohort 2
Tier 3: Training & Preparation	<b>Cohort 2</b>	Cohort 3	Cohort 1

# ANNUAL RISK ASSESSMENT

- ANNUAL RISK ASSESSMENT
  - All Cohorts will go through this level of review every year
  - Based on the results of the risk Assessment, districts/LEAs are categorized as high, medium, or low risk and are **subject to further monitoring, regardless of Cohort** assignment or level of monitoring.
  - Risk Factors Include:
    - Audit Findings
    - New Personnel
    - Fiscal Monitoring Findings
    - Late Budget Application
    - Late FER
    - Allocation Amount
    - Overpayments
    - Lapsed/Forfeited Funds
    - Last Fiscal Monitoring
    - LEA Personnel Attend Division Trainings
    - Financial Concerns
    - Timely Correction of Findings



# DESK AUDIT & APPLICATION REVIEW

- DESK AUDIT AND APPLICATION REVIEW
  - All Cohorts will go through this level of review every year
  - The Department will review the following for each district/LEA:
    - ePeGS IDEA Part B Budget Application & Revisions
    - ePeGS IDEA Part B Payment Requests
    - ePeGS IDEA Part B Final Expenditure Report & Revisions
    - ePeGS ECSE Final Expenditure Report & Revisions
    - ePeGS Proportionate Share Carryover Release Request
    - Cash Management Plans
    - A133 Audit Findings for IDEA Part B



# SELF-ASSESSMENT (TIER I)

- TIER I: SELF-ASSESSMENT/DESK MONITORING
  - The applicable Cohort for the fiscal year will go through this level of review (Cohort 1 for 2017-18)
  - Districts/LEAs within Cohort 1 will complete a Self-Assessment (questionnaire) within the Tiered Monitoring System in regard to the previous (2016-17) school year
  - Must complete and submit within a specified timeframe
  - The district/LEA is not required to submit documentation unless there are any questionable, incomplete, or incorrect responses
  - A Corrective Action Plan (CAP) will be issued for any non-compliance findings
  - District/LEA must respond to issued CAP(s) within specified timeframe



# ON-SITE MONITORING (TIER II)

- TIER II: ON-SITE MONITORING
  - The applicable Cohort for the fiscal year will go through this level of review (Cohort 3 for 2017-18)
  - Only the districts/LEAs within Cohort 3 who are determined high risk will be selected for On-site Monitoring (up to 25 districts/LEAs)
  - Districts/LEAs will be required to upload documentation from the previous school year (2016-17) into the Tiered Monitoring System prior to the On-site review
  - DESE staff will answer monitoring questions
  - A Corrective Action Plan (CAP) will be issued for any non-compliance findings
  - District must respond to the CAP within 30 calendar days



# TRAINING & PREPARATION(TIER III)

- TIER III: TRAINING AND PREPARATION
  - The applicable Cohort for the fiscal year will go through this level of review (Cohort 2 for 2017-18)
  - Districts/LEAs within Cohort 2 will have an opportunity to:
    - Attend Regional Trainings
    - Review district/LEA policies, procedures, and practices
    - Review the Special Education Fiscal Monitoring Guide
    - Implement and assess any changes deemed necessary
  - Districts/LEAs may be required to attend trainings based on Risk Assessment regardless of Cohort
  - Districts/LEAs will not be required to answer any questions within the Tiered Monitoring System



# Tiered Monitoring System

**Special Education Finance  
Self-Assessment/Desk Monitoring**



# WEB APPLICATIONS MENU



## ▼ User Applications

### ▼ DESE Web Applications

- ▷ Annual Report of the County Clerk to the State Board of Education
- ▷ Annual Secretary of the Board Report (ASBR)
- ▷ ARRA
- ▷ Data Collection
- ▷ Educator Certification System - Request Educator Access
- ▷ Educator Qualifications
- ▷ ePeGS
- ▷ Missouri Comprehensive Data System (MCDS)
- ▷ Nonpublic Registration Form
- ▷ School Finance
- ▷ Special Education: Early Childhood
- ▷ Tiered Monitoring

### ▼ Report

- ▷ Report Menu -- All data and/or reports are now available through the Missouri Comprehensive Data System (MCDS) Portal.

### ▼ User Information

- ▷ Change Password
- ▷ Edit User Profile
- ▷ Edit Security Question/Answer
- ▷ Logon/Logoff

# LEA HOME PAGE

## Menu

### Functions

Year: 2017-2018 (Change)

### Navigation

- DESE Home (Exit LEA View)
- Web Application Menu
- Logon/Logoff

## Tiered Monitoring - LEA Home

### Desk Monitoring Assignments

Monitoring Document ▲	Status	Monitoring Type	Due
No Child Left Behind Self-Monitoring Checklist October (Migrant and ELL)	In Progress	Compliance	12/29/2017
Elementary and Secondary Education Act (ESEA) Finance Self-Assessment	Completed	Compliance	
ESEA Program Self-Monitoring Checklist October	Submitted to DESE	Compliance	10/31/2017
ESEA Program Self-Monitoring Checklist December	In Progress	Compliance	12/15/2017
ESEA Program Self-Monitoring Checklist February	In Progress	Compliance	2/15/2018
ESEA Program Self-Monitoring Checklist April	In Progress	Compliance	4/15/2018
Special Education Finance Desk Monitoring	In Progress	Compliance	1/31/2018

## Utilities

- Calendar view
- Global document repository (uploads)
- Maintain user security
- Correspondence

### Pending On-Site Monitorings

Listed below are the On-Site Monitorings that your district/LEA has been selected to receive. The Department contact for each applicable program will be contacting your district/LEA to schedule the exact date(s) and time(s) of the on-site review. If any documentation is required from the district/LEA, the "Go to Uploads" link will provide additional information regarding the specific documentation required. After the On-Site Monitoring visit, the district/LEA will be notified of any Corrective Action Plans (CAPs) issued. The On-Site/Phone Monitoring will then appear under the "Desk Monitoring" section above for the district/LEA to provide any additional information/documentation requested or indicate how the district/LEA will correct deficiencies and/or implement procedural changes in the "LEA Response" field for each CAP issued.

There are no pending On-Site monitorings.

### Financial Audit

- The required 2016-2017 school year audit document is now due by December 31. Reminder to upload this document into the 2017-2018 year. Please upload via the repository.

# DESK MONITORING SECTIONS

**Monitoring Assignment Summary**

Document Status: **In Progress**      DESE Contact: **Name: Leslie Turpin**  
**Phone: 573-751-7022**  
**Email: Leslie.Turpin@dese.mo.gov**

Next Due Date: **1/31/2018**

Last Action: **n/a**

DESE Reviewed Monitoring: **n/a** 

Closed Monitoring: **n/a** 

PDF Generation History: [Click here](#)

## Document Sections:

Please select the section you want to work on from these options (Note: **you must click the Save button at the bottom of each page to save your data** for that section and return to this page).

Section	Document Uploads	Section Due	Action
<b>Funding Basics</b> <i>(8 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Cash Management</b> <i>(6 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Obligation of Funds</b> <i>(3 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Period of Availability</b> <i>(4 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Allowable Use of Funds</b> <i>(8 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Internal Controls</b> <i>(4 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Procurement</b> <i>(4 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Time and Effort</b> <i>(8 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Equipment</b> <i>(4 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Capital Outlay</b> <i>(2 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Proportionate Share</b> <i>(3 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Early Childhood Special Education (ECSE)</b> <i>(3 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Coordinated Early Intervening Services (CEIS)</b> <i>(1 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>
<b>Maintenance of Effort (MOE)</b> <i>(4 unanswered questions)</i>	<a href="#">Documents</a> <i>(0 required)</i>	<b>1/31/2018</b>	<a href="#">Answer Remaining Questions</a>

# COMPLETING THE SELF-ASSESSMENT

Document: **Special Education Finance Desk Monitoring**  
Section: **Funding Basics**  
For School Year: **2017-2018**  
Section Status: **In Progress**

Funding Basics	Evidence	LEA Comments
1. Did the district/LEA use the following function codes as established in the MO Accounting Manual for special education program expenditures: 1221, 1223, 1224, 1281, 1931, 1932, 1933, 2553, 2554, 2557, and 2559 if applicable?	<input type="text"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/>
2. Did the district/LEA have a method to tie expenditures coded under non-special education specific function codes to the special education program other than by utilizing account descriptors?	<input type="text"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/>
3. Did the district/LEA track expenditures paid with IDEA Part B federal funds separately in the general ledger by utilizing a project/source code (district/LEA comment required)?	<p><input checked="" type="checkbox"/> <b>COMMENT REQUIRED:</b> Indicate in the LEA Comments the specific project/source code the district/LEA utilizes to track expenditures paid with IDEA Part B federal funds in the general ledger.</p> <p><input type="checkbox"/> "Yes" or "No" Response Required.</p>	<p><b>Project/Source Code "41" is utilized to track IDEA federal funds in the GL.</b></p> <input type="radio"/> <input type="radio"/> <input type="radio"/>

# COMPLETING THE SELF-ASSESSMENT

Document: **Special Education Finance Desk Monitoring**

Section: **Funding Basics**

For School Year: **2017-2018**

Section Status: **In Progress**

Funding Basics	Evidence	LEA Comments	Y N NA
1. Did the district/LEA use the following function codes as established in the MO Accounting Manual for special education program expenditures: 1221, 1223, 1224, 1281, 1931, 1932, 1933, 2553, 2554, 2557, and 2559 if applicable?	<input type="text"/>		<input type="radio"/> <input type="radio"/> <input type="radio"/>
2. Did the district/LEA have a method to tie expenditures coded under non-special education specific function codes to the special education program other than by utilizing account descriptors?	<input type="text"/>		<input type="radio"/> <input type="radio"/> <input type="radio"/>
3. Did the district/LEA track expenditures paid with IDEA Part B federal funds separately in the general ledger by utilizing a project/source code (district/LEA comment required)?	<p><b>COMMENT REQUIRED:</b> Indicate in the LEA Comments field the specific project/source code the district/LEA utilizes to track expenditures paid with IDEA Part B federal funds in the general ledger.</p> <p><input type="checkbox"/> "Yes" or "No" Response Required.</p>	<p>Project/Source Code "41" is utilized to track IDEA federal funds in the GL.</p>	<input type="radio"/> <input type="radio"/> <input type="radio"/>

# COMPLETING THE SELF-ASSESSMENT

Maintenance of Effort (MOE)	Evidence	LEA Comments	Y	N
1. Did the Maintenance of Effort (MOE) calculation include ALL special education program expenditures paid with state and/or local funds?	<input type="text"/>		<input checked="" type="radio"/>	<input type="radio"/>
2. Did the district/LEA ensure federal funds were not included in the Maintenance of Effort (MOE) calculation?	<input type="text"/>		<input checked="" type="radio"/>	<input type="radio"/>
3. Did the Maintenance of Effort (MOE) calculation include only special education expenditures (no Gifted, Homeless, Medicaid billing fees, Local Tax Effort, etc., were included)?	<input type="text"/>		<input checked="" type="radio"/>	<input type="radio"/>
4. Did the district/LEA ensure expenditures paid with state and/or local funds recorded in the general ledger match what the district/LEA reported in ePeGS on the Maintenance of Effort (MOE) grid?	<input type="text"/>		<input checked="" type="radio"/>	<input type="radio"/>



# NAVIGATING TO A SECTION

Tiered Monitoring - LEA Home > Sections >

## Desk Monitoring

Document: **Special Education Finance Desk Monitoring**

Section: **Proportionate Share**

For School Year: **2017-2018**

Section Status: **In Progress**

This Desk Monitoring has been saved successfully.  
Click [here](#) to go to the next section.

Proportionate Share	Evidence	LEA Comments	Y	N	NA
1. Did the district/LEA have documentation (rosters, service plans, etc.) to support the private, parochial and home schooled student counts reported in MOSIS/Core Data?	<input type="text"/>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Did the district/LEA track Proportionate Share expenditures separately from other expenditures using function code 1224 and/or 2557?	<input type="text"/>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Did the district/LEA ensure Proportionate Share expenditures were prorated appropriately?	<input type="text"/>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

<< Prev Section

Save

Cancel

Next Section >>



# SUBMITTING THE SELF-ASSESSMENT

## Special Education Finance Desk Monitoring

### Monitoring Assignment Summary

Document Status: **In Progress**      DESE Contact: **Name: Leslie Turpin**  
Next Due Date: **1/31/2018**      **Phone: 573-751-7022**  
Last Action: **n/a**      **Email: Leslie.Turpin@dese.mo.gov**  
DESE Reviewed Monitoring: **n/a**   
Closed Monitoring: **n/a**   
PDF Generation History: [Click here](#)

Please select the section you want to work on from these options (Note: you must click the Save button at the bottom of each page to save your data for that section and return to this page).

Section		Section Due	
Obligation of Funds (0 unanswered questions)	Documents (0 required) (0 optional)	1/31/2018	<input type="button" value="Submitted"/>
Period of Availability (0 unanswered questions)	Documents (0 required) (0 optional)	1/31/2018	<input type="button" value="Submit"/>

**Message from webpage** 

 Are you sure you want to submit this section to DESE? This will lock this section from further changes pending DESE's review.



# SUCCESSFUL SECTION SUBMISSION

## Special Education Finance Desk Monitoring

### Monitoring Assignment Summary

Document Status: **In Progress**    DESE Contact: **Name: Leslie Turpin**  
**Phone: 573-751-7022**  
Next Due Date: **1/31/2018**    **Email: Leslie.Turpin@dese.mo.gov**  
Last Action: **n/a**  
DESE Reviewed Monitoring: **n/a**   
Closed Monitoring: **n/a**   
PDF Generation History: [Click here](#)

Your monitoring section was submitted successfully.

Please select the section you want to work on from these options (Note: you must click the Save button at the bottom of each page to save your data for that section and return to this page).

Section		Section Due	
<b>Obligation of Funds</b> (0 unanswered questions)	<b>Documents</b> (0 required) (0 optional)	<b>1/31/2018</b>	<input type="button" value="Submitted"/>
<b>Period of Availability</b> (0 unanswered questions)	<b>Documents</b> (0 required) (0 optional)	<b>1/31/2018</b>	<input type="button" value="Submit"/>

## Special Education Finance Desk Monitoring

All monitoring sections have now been submitted successfully.  
A PDF of your responses to this monitoring is available [here](#). It is also available in the PDF Generation History for future reference.



# STATUS CHANGE

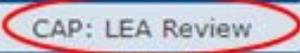
Submitted to DESE

1/31/2018

# REPORTING AND CORRECTIVE ACTION

## Tiered Monitoring - LEA Home

### Desk Monitoring

Monitoring 	Status	Due
Special Education Finance Desk Monitoring 	CAP: LEA Review 	1/31/2018

### Pending On-Site Monitorings

Listed below are the on-site monitorings that are scheduled for your agency. Please be aware that the DESE will be contacting your agency to conduct these monitorings via phone or an on-site visit. If they require and documentation from you, it will be listed below. After the On-Site Monitoring has completed, if any Corrective Action is necessary, a CAP will be generated and appear under the "Desk Monitoring" section above.

There are no pending On-Site monitorings.

### Financial Audit

Not applicable for fiscal year 2011-2012 in the system.



# LEA RESPONSE TO CAP

---



# STATUS CHANGE

## Tiered Monitoring - LEA Home

### Desk Monitoring

Monitoring ▲	Status	Due
Special Education Finance Desk Monitoring	CAP: DESE Review	1/31/2018

### Pending On-Site Monitorings

Listed below are the on-site monitorings that are scheduled for your agency. Please be aware that the DESE will be contacting your agency to conduct these monitorings via phone or an on-site visit. If they require and documentation from you, it will be listed below. After the On-Site Monitoring has completed, if any Corrective Action is necessary, a CAP will be generated and appear under the "Desk Monitoring" section above.

There are no pending On-Site monitorings.

### Financial Audit

Not applicable for fiscal year 2011-2012 in the system.



# RETURN OF UNAPPROVED CAP

## Tiered Monitoring - LEA Home

### Desk Monitoring

Monitoring 	Status	Due
<a href="#">Special Education Finance Desk Monitoring</a> 	CAP: LEA Review 	1/31/2018

### Pending On-Site Monitorings

Listed below are the on-site monitorings that are scheduled for your agency. Please be aware that the DESE will be contacting your agency to conduct these monitorings via phone or an on-site visit. If they require and documentation from you, it will be listed below. After the On-Site Monitoring has completed, if any Corrective Action is necessary, a CAP will be generated and appear under the "Desk Monitoring" section above.

There are no pending On-Site monitorings.

### Financial Audit



# PROVIDE ADDITIONAL INFORMATION

## Special Education Finance Desk Monitoring: Corrective Action Plan

Document Status: <b>CAP: LEA Review</b>	Name:
Initial Due Date: <b>1/31/2014</b>	DESE Contact: Phone:
Last Action: <b>11/14/2013</b>	Email:
DESE Reviewed Monitoring: <b>11/14/2013</b> 	
Closed Monitoring: <b>n/a</b> 	
PDF Generation History: <a href="#">Click here</a>	

The following sections of your Special Education Finance Desk Monitoring review require corrective action.

**Topic: Obligations and Period of Availability**

**1. Did the LEA submit the IDEA Part B Budget Application by the required due date?**

Corrective Action:	<div style="border: 2px solid red; padding: 5px;">11/14/2013 Please clarify previous answer. The question is referring to the Budget Application submission date for the 2012-2013 fiscal year. 11/8/2013 Comment required. Please submit comment to indicate date budget was submitted.</div>	CA Due: <input type="text" value="11/22/2013"/>
		Ext Date: <input type="text"/>
		Closed: <input type="text"/>
		CA Not Required: <input type="checkbox"/>

LEA Response: 

11/15/2013. Budget Application submitted on 7/5/2012 for the 2012-2013 fiscal year.  
11/14/2013 Budget Application submitted 7/13/2013.

Uploaded Files:



# STATUS CHANGE

## Tiered Monitoring - LEA Home

### Desk Monitoring

Monitoring 	Status	Due
Special Education Finance Desk Monitoring 	CAP: DESE Review 	1/31/2018

### Pending On-Site Monitorings

Listed below are the on-site monitorings that are scheduled for your agency. Please be aware that the DESE will be contacting your agency to conduct these monitorings via phone or an on-site visit. If they require and documentation from you, it will be listed below. After the On-Site Monitoring has completed, if any Corrective Action is necessary, a CAP will be generated and appear under the "Desk Monitoring" section above.

There are no pending On-Site monitorings.

### Financial Audit

Not applicable for fiscal year 2011-2012 in the system.



# STATUS CHANGE

## Tiered Monitoring - LEA Home

### Desk Monitoring

Monitoring 	Status	Due
Special Education Finance Desk Monitoring 	CAP: DESE Review 	1/31/2018

### Pending On-Site Monitorings

Listed below are the on-site monitorings that are scheduled for your agency. Please be aware that the DESE will be contacting your agency to conduct these monitorings via phone or an on-site visit. If they require and documentation from you, it will be listed below. After the On-Site Monitoring has completed, if any Corrective Action is necessary, a CAP will be generated and appear under the "Desk Monitoring" section above.

There are no pending On-Site monitorings.

### Financial Audit

Not applicable for fiscal year 2011-2012 in the system.

# HISTORY OF MONITORING

## PDF Generation History

All PDF documents generated for this assignment are listed here.

Document: **Special Education Finance Desk Monitoring**  
For School Year: **2016-2017**  
Current Status: **Completed**

Status at Generation	DESE/LEA	Generated By	Date
Completed	DESE	Turpin, Leslie	6/10/2014 12:52:55 PM
CAP: LEA Review	LEA	District User	6/2/2014 10:00:20 AM
CAP: DESE Review	DESE	Turpin, Leslie	5/28/2014 12:24:32 PM
CAP: LEA Review	LEA	District User	5/8/2014 10:07:39 AM
DESE Reviewed Monitoring	DESE	Turpin, Leslie	5/6/2014 11:02:15 AM
Submitted to DESE	LEA	District User	12/5/2013 9:08:05 AM

# DESK MONITORING REPORT



205 Jefferson Street, P.O. Box 480 • Jefferson City, MO 65102-0480 • dese.mo.gov

6/10/2014

Dear

The Special Education Finance staff has completed the Desk Monitoring for your district/LEA. No further action is necessary on your part and the report can be found in the Tiered Monitoring System. In the system, on the Federal Monitoring heading, click on the Special Education Finance Desk Monitoring. The report should be listed under "Functions" in the blue menu box in the upper left. If the link beside it does not exist, select 2012-2013 from the drop down menu and next click on the link titled "DESE Reviewed Monitoring." This will take you to a checklist with DESE responses. If you have any questions, please feel free to contact the staff.

In addition, you may wish to refer to the Special Education Fiscal Monitoring Guide at <http://dese.mo.gov/sites/default/files/sef-MonitoringGuide2014.pdf> in the left hand column for education finance questions and/or compliance. Thank you.

Enclosures

cc:

Special Education Finance Desk Monitoring  
2012-2013

District:  
Finalized:

205 Jefferson Street, P.O. Box 480 • Jefferson City, MO 65102-0480 • dese.mo.gov

Obligations and Period of Availability	Evidence	LEA Comments
1) Did the LEA submit the IDEA Part B Budget Application by the required due date?	<input type="checkbox"/> ePeGS Activity Report <input type="checkbox"/> Comment Required: Part B Budget Application Submission Date	The Budget Application was submitted on 7/25/2012
2) Did the LEA ensure obligations were not made prior to the submission of the IDEA Part B Budget Application?	<input type="checkbox"/> General Ledger <input type="checkbox"/> Contracts/Purchase Orders	
3) Did the LEA ensure prior year expenditures (ESY, June expenses, etc) were not charged to the grant year being reviewed?	<input type="checkbox"/> General Ledger	
4) Was the IDEA Part B Final Expenditure Report (FER) submitted by the required due date?	<input type="checkbox"/> ePeGS Activity Report <input type="checkbox"/> Required Comment: Part B FER Submittal Date	The FER was submitted on 12/4/2012

Generated 6/10/2014 12:52:52 PM Phone 573-751-4212 • <http://dese.mo.gov/contactus.html>

District:  
Finalized:

205 Jefferson Street, P.O. Box 480 • Jefferson City, MO 65102-0480 • dese.mo.gov

**Corrective Action Plan (CAP)**  
Special Education Finance Desk Monitoring

**Section: Obligations and Period of Availability**

1. Did the LEA submit the IDEA Part B Budget Application by the required due date?

Corrective Action: The IDEA Part B Budget Application was submitted on 7/25/2012. Due date is 7/1/2012. The district/LEA must create a process/procedure to ensure future compliance with timely submission of Budget Applications.

LEA Response: There was a period of transition from an interim superintendent and a new superintendent in 2012. The Special Education Director will make sure that the Budget application is submitted before the due date and will be monitored by the superintendent.

CA Due: 5/20/2014  
Ext Date:  
Closed: 5/28/2014  
CA Not Required:  
School Official Comments:

4. Was the IDEA Part B Final Expenditure Report (FER) submitted by the required due date?

Corrective Action: The IDEA Part B Final Expenditure Report was submitted on 12/4/2013. Due date is 9/30/2013. The district/LEA must create a process/procedure to ensure future compliance with timely submission of FERs.

LEA Response: The Special Services Director and Superintendent have coordinated the submission duties for FER and applications, and the Superintendent will be responsible for ensuring that the FER is submitted in a timely fashion.

CA Due: 5/20/2014  
Ext Date:  
Closed: 5/28/2014  
CA Not Required:  
School Official Comments:

# QUESTIONS

- Any questions regarding system navigation or program requirements, please call the Special Education Finance Department for assistance.
- (573)751-7022 or (573)751-0622

