Education Stabilization Fund

Desk Review Monitoring

ESF Desk Review Monitoring

Review Process

Agenda:

- Introduction
- Overall Process
- Online Portal Review
- Common Obstacles
- Review Next Steps

Programs to be Monitored

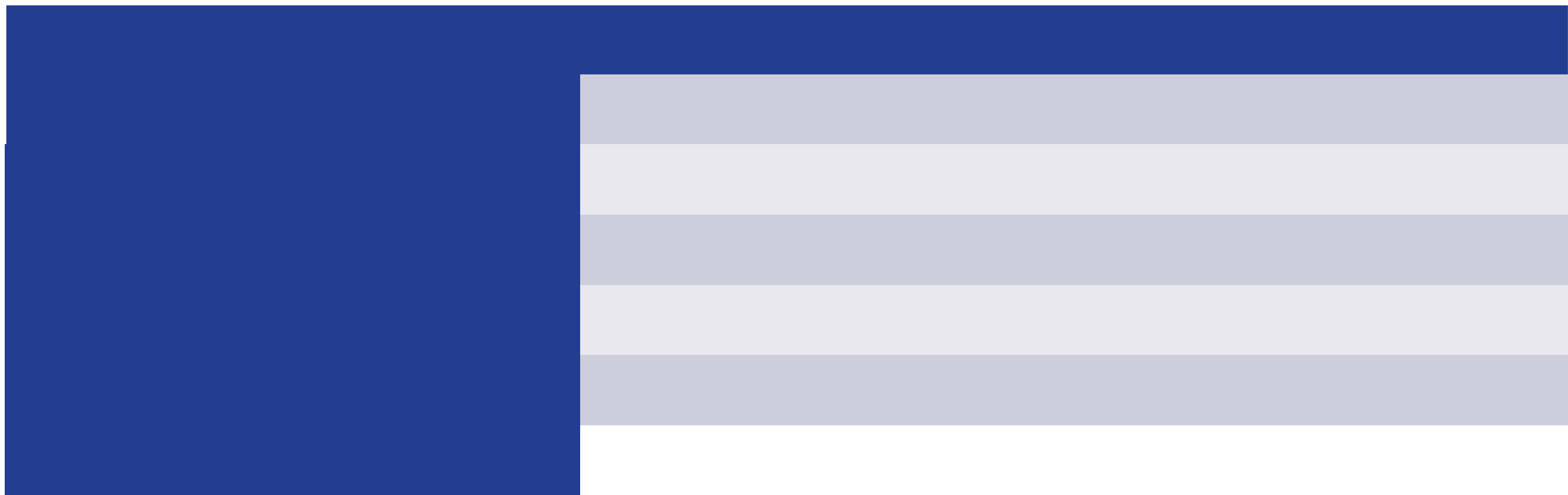|		
ESSER I	GEER I	CRRSA / ESSER II
GEER II	ARP ESSER	ARP State Reserves

Phase I

Pre-Review Activities

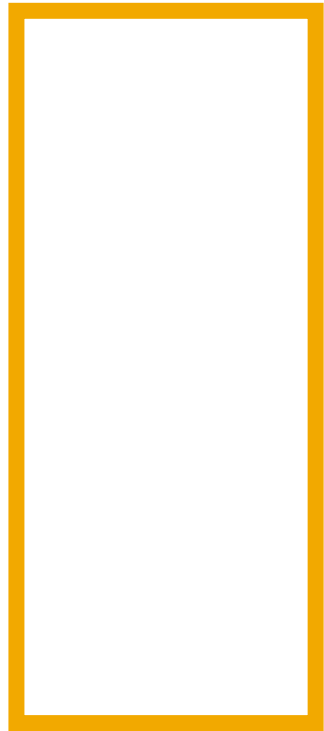# Review Groups

- LEAs completed the Review Group Survey by September 30, 2022.
- This survey asked LEAs to rank their Review Group preferences.
- LEAs were notified of their Review Groups and Lead Reviewer on October 25, 2022.

Welcome Email

- Sent 3-5 weeks before the ESF Monitoring Survey is published in the NYSED Portal.

- Includes important reminders and resources.
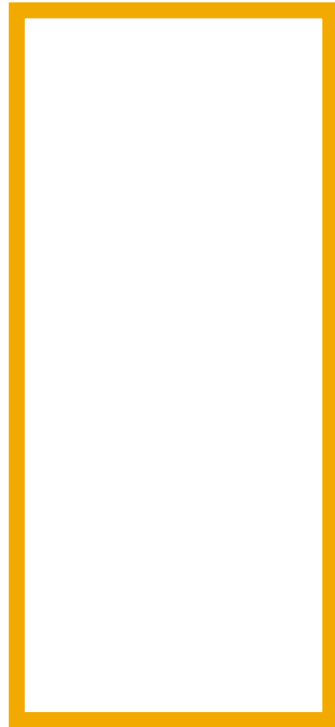
Phase II

NYSED Review

Phase II – NYSED Review

Determine LEA compliance with each indicator

Provide LEAs with notes on strengths, required and recommended actions.

Will be provided within 30 calendar days

Phase III

Follow-Up Activities

Phase III Timeline

30 days after receipt of final ratings	The LEA is required to address Corrective Actions for each indicator that generated a Finding or a Required Action. Completed Corrective Actions must be submitted via the online portal within 30 calendar days.
After Submission of Corrective Action Evidence	Once all identified Findings and Required Actions have been addressed, NYSED will issue a formal letter to conclude the ESF Monitoring.

Sample Timeline
Review Group F

- June 15, 2023 – NYSED Reviewer will send a welcome email to the LEA.

- July 12, 2023 – The ESF Monitoring Survey will be published to the LEA in the NYSED Business Portal.

- August 23, 2023 – The ESF Monitoring Survey must be submitted to NYSED.

- September 22, 2023 - Reviewer ratings and notes will be provided to the LEA.

- October 23, 2023 – Completed Corrective Actions are due to NYSED

Accessing the ESF Survey

- x Go to Business Portal: http://portal.nysed.gov
- x Click on the login button
- x Enter your username and password
- x Click on "SED Monitoring and Vendor Performance System" under My Applications
- x Select "View Surveys" for OTI or ESSA con

Compliance Status Definitions

Met Requirements

- indicates that the LEA documents reviewed were fully in compliance with federal and State requirements.

Compliance Status Definitions

Met Requirements with Recommendation

- Documents are in compliance with Federal and State requirements.
- The LEA may improve the quality of its program implementation and/or documentation by implementing NYSED recommendations.
- These recommendations are technical assistance.
- The LEA is not required to take immediate action.

Compliance Status Definitions

Met Requirements with Required Action

- indicates that the LEA documents reviewed were substantially in compliance with federal and State requirements
- The LEA must improve the quality of their program implementation and/or documentation by implementing the NYSED-directed action.
- The LEA is required to respond to a required action within its Corrective Action Plan.

Common Obstacles and Solutions

Obstacle	Solution
LEAs experience delays in uploading evidence due to confusion about obtaining user rights for appropriate personnel.	• Ensure all personnel who are contributing to monitoring review have appropriate access to both the ESF applications and ESF Monitoring survey. • Contact CARESACT@nysed.gov for information about providing access/user rights within the portal.

Common Obstacles and Solutions

Common Obstacles and Solutions

Obstacle	Solution
LEA does not understand what an indicator is asking for.	• Refer to the Recommended Evidence column or the Recommended Evidence document as well as the Documents panel in the lower left side of the online monitoring survey. • Consult with Superintendent and/or appropriate district staff. • Consult the website for ESF Monitoring at http://www.nys 0 Tc (at)snot1 y://v2 (ng /fe

Next Steps

NYSED Support

ARP HCY I & II

- Will the ARP HCY I & II grants be included in this monitoring process?
  - No – The grants included in this monitoring process are CARES/ ESSER I, GEER I, CRRSA/ESSER II, ARP ESSER III, and the ARP ESSER State level Reserves.
  - The ARP HCY I & II process will be separate from this monitoring. We are looking at including these grants in the regular ESSA Consolidated Monitoring Process.

General Questions

- Does NYSED expect to revise the survey over time, or will every LEA get the same survey?
  - NYSED does not anticipate revising the survey unless we receive corrective action from auditors.
- Can LEAs utilize digital files to show evidence?
  - Yes, digital files are appropriate to provide evidence.
- If the indicators do not apply should the response be "Not Applicable?"
  - Yes.
- Can LEAs use the indicators document to begin reviewing our records?
  - Yes. The survey in the Business Portal is being built to align directly with the indicators.

General Questions

- Where can LEAs find the document that includes an explanation of the indicators?
  - The document can be found towards the bottom of the monitoring website under the header "Desk Review Monitoring" at the second link titled "ESF Desk Review Monitoring Indicators and Evidence."

- If the LEA has already submitted its final expenditure report and received all of the funding, what corrective action could be required?
  - This answer is dependent on the nature of the finding. Depending on the finding, NYSED will work with LEAs to find a reasonable resolution that is the least risky. An example of a resolution would be NYSED having a conversation with the LEA about if they had any allowable expenditures in their general funds that could be allowable under these funding sources and making a note of this.

Evidence-Based Interventions

- Where can LEAs find definitions of the different evidence tiers?
  - Definitions of the different evidence tiers can be found in the document library of the ARP ESSER State Reserve application.

    http://www.nysed.gov/accountability/evidence-based-interventions

- If an LEA used one of the evidence-based interventions suggested by the State in the application (high dosage tutoring, summer learning, etc.) what should the response be in the chart under evidence?
  - The monitoring review survey will include a drop-down menu and have evidence tiers 1-4 listed. LEAs could list tier 1 for this example provided. LEAs should note that they only have to upload their evidence base if NYSED requests it.

Evidence-Based Interventions

- What is required to satisfy the results in the charts for ARP ESSER 3 and ARP ESSER State Level Reserves? Results could be based on the method of evaluation that the LEA stated they were using for the 20% within ARP ESSER 3 or for the ARP ESSER State Level Reserves.

- Could results be trends in student performance? This could include the LEA reporting the results of a summer program to their school board, testing results, attendance results, behavioral results, etc. LEAs could share those types of materials or the results of an internal review if one was conducted.

- Could there be findings related to the tier of evidence that was selected? In the document there is a section to state the tier of evidence LEAs are selecting. NYSED could ask to see evidence base that you used when deciding on these activities or what data the LEA collected that shows the effect this program or activity had or is having on student achievement.

Non-Public Schools – Equitable Services

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Non-Public Schools – Equitable Services

- For non-public schools, if LEAs kept a spreadsheet of the number of times they reached out regarding equitable funds, would it suffice as evidence?
  - Yes. A spreadsheet containing that information would be a great piece of evidence as part of the entire picture.6 (gr)-1

Amendments and Grants Finance Forms

- If in collaboration with stakeholders an LEA decides to use funds within a budget code line in a different way, but does not need to move funds within codes, would an FS-10A still need to be submitted?
  - According to Grants Finance guidance, LEAs should be contacting their assigned reviewer prior to making any changes to their plans. We have been advising LEAs to file what is called an informal amendment for these changes that do not meet the requirements of filing a formal FS-10A.

- Do FS-10A's need to be submitted for changes within budget codes that are less than 10%?
  - This would most likely be an informal amendment. LEAs can contact their assigned reviewer who will advise them if a formal amendment needs to be submitted.

- If when the original FS-10 was written for staff salaries they were estimated, but now actual salaries are known such as the FTE rate being .95 instead of the original 1.0, would an amendment be required?
  - If this change does not exceed the amount budgeted for salaries the LEA may not be required to submit a formal amendment. LEAs should contact their assigned reviewer who will advise them if a formal amendment or an informal amendment needs to be submitted.

- Where can the form for an informal FS-10A be located?
  - An informal FS-10A can be filled out on the same FS-10A form and numbered 000. Please send this as an email attachment to your reviewer.

FS-10-F

Late Liquidation

- Will NYSED apply to USDE for "late liquidation" of CARES funds?

  At this time NYSED does not have a late liquidation extension and is hoping to have more information available soon.

Other

- Are the LEAs able to get the indicators and evidence document as an Excel document so they can cut and paste the language into our planning documents?
  - Yes. NYSED is currently working on an Excel version for LEAs and will post them on the ESF Monitoring Website.
- Should LEAs be using the STE code for all ARP grants?
  - NYSED is awaiting more information from the State Aid unit regarding this question.
- Why has NYSED decided to go the route of auditing every district versus a r>>BDC c(en)-5.4ple dvecuso ori catr• NYPid ie(w)1

Questions?

Thank you for your continued collaboration!