New York State
EDUCATION DEPARTMENT

Knowledge › Skill › Opportunity

Educ

Targeted Monitoring

ESF Targeted Monitoring

Review Process

Agenda:

- Introduction
- Overall Process
- Online Portal Review
- Common Obstacles
- Next Steps
- Resources and Contacts

Purpose

- To determine LEA compliance with the fiscal and programmatic requirements of the Education Stabilization Fund (ESF) programs.
- To ensure the LEA is fulfilling assurances and following program plans provided in the ESF Applications.
- To provide technical assistance and support which builds district capacity to develop and implement high-quality programs.
- To ensure LEAs utilized the Education Stabilization Funds to prevent, prepare for, or respond to the COVID-19 pandemic.

Programs to be Monitored

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

Overall Process

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 11, 2022.

Review Groups

	Review Block
Group A	October 2022 - May 2023
Group B	January 2023 – August 2023
Group C	April 2023 – November 2023
Group D	July 2023 – February 2024
Group E	October 2023 – May 2024
Group F	January 2024 – August 2024

Welcome Email

- Sent 3-5 weeks before the ESF Monitoring Survey is published in the NYSED Portal.
- Includes important reminders and resources.
- LEAs will be asked to respond to a Scheduling Survey. This survey will help ensure that the Virtual visit is scheduled at a convenient time for the LEA.

Targeted Monitoring Review Group Dates

	Review Block	Welcome Email	Scheduling Survey Due	Portal Survey Publish Date	Virtual Visit Scheduled	Portal Survey Due Date	Virtual Visits
Group A	October 2022 - May 2023	October 11, 2022	November 4, 2022	October 28, 2022	November 18, 2022	December 09, 2022	January 9 – March 31, 2023
Group B	January 2023 – August 2023	December 15, 2022	January 19, 2023	January 19, 2023	February 2, 2023	March 2, 2023	April 3, 2023- June 30, 2023

Scheduling Survey Due

- Please submit the ESF Monitoring Scheduling Survey by the date indicated for your review group.

Targeted Monitoring Review Group Dates

	Review Block	Welcome Email	Scheduling Survey Due	Portal Survey Publish Date	Virtual Visit Scheduled	Portal Survey Due Date	Virtual Visits
Group A	October 2022 - May 2023	October 11, 2022	November 4, 2022	October 28, 2022	November 18, 2022	December 09, 2022	January 9 – March 31, 2023
Group B	January 2023 – August 2023	December 15, 2022	January 19, 2023	January 19, 2023	February 2, 2023	March 2, 2023	April 3, 2023- June 30, 2023

ESF Monitoring Survey

- The ESF Targeted Monitoring Survey will be published according to the set date for your review group.

Targeted Monitoring Review Group Dates

	Review Block	Welcome Email	Scheduling Survey Due	Portal Survey Publish Date	Virtual Visit Scheduled	Portal Survey Due Date	Virtual Visits
Group A	October 2022 - May 2023	October 11, 2022	November 4, 2022	October 28, 2022	November 18, 2022	December 09, 2022	January 9 – March 31, 2023
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Scheduling the Virtual Visit

- The Lead Reviewer will contact the LEA by the “Virtual Visit Scheduled” date to schedule the Virtual visit.
- The Lead Reviewer will provide the LEA with a personalized timeline for the remaining activities.
- The Lead Reviewer will collaborate with the LEA to create a Virtual visit agenda.

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ESF Monitoring Survey is Due

- Please complete and submit the ESF Monitoring Survey in the NYSED Business Portal by the Portal Survey Due Date.
- Timely submission will allow your reviewer enough time to thoroughly review your survey.

Targeted Monitoring Review Group Dates

	Review Block	Welcome Email	Scheduling Survey Due	Portal Survey Publish Date	Virtual Visit Scheduled	Portal Survey Due Date	Virtual Visits
Group A	October 2022 - May 2023	October 11, 2022	November 4, 2022	October 28, 2022	November 18, 2022	December 09, 2022	January 9 – March 31, 2023
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Preliminary Ratings

- The LEA will receive the Preliminary Ratings in the NYSED Business Portal at least 3 business days before the Virtual visit.
- This is to provide the LEA additional time to gather evidence and correct any initial findings or required actions before the Virtual visit.

Phase II

Virtual Activities

Phase II – Virtual Visit

NYSED staff will conduct Virtual meetings.

Review any additional materials not originally provided in the portal.

NYSED will review all preliminary findings within the portal and how to address those findings.

Phase II – Virtual Visit Activities

- Interviews with program staff, teachers, families, students and business office staff.
- Interviews with private school officials
- Document review
- Tours of ESF-Funded Construction

Phase III

Follow-Up Activities

Phase III Timeline

5 days after virtual visit	After the Virtual visit, LEA has 5 business days to upload additional materials to address preliminary ratings.

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30 days after the 5-day preliminary rating period	NYSED will provide Final Ratings within 30 calendar days.

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30 days after the 5-day preliminary rating period	NYSED will provide Final Ratings within 30 calendar days.
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.

Phase III Timeline

5 days after virtual visit	After the virtual visit, LEA has 5 business days to upload additional materials to address preliminary ratings.
30 days after the 5-day preliminary rating period	NYSED will provide Final Ratings within 30 calendar days.
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 Targeted Monitoring.

Sample Timeline
Virtual Visit – March 16, 2023

- **March 13, 2023 -** Preliminary Ratings
- **March 16, 2023 -** Virtual Visit
- **March 23, 2023 -** Additional Materials due
- **April 24, 2023 -** NYSED Final Ratings
- **May 24, 2023 -** LEA Corrective Actions Due

Accessing the ESF Survey

- Go to Business Portal: http://portal.nysed.gov
- Click on the login button
- Enter your username and password
- Click on "SED Monitoring and Vendor Performance System" under My Applications
- Select "View Surveys for Office of ESSA-Funded Programs”
- Find the survey titled, "2022-24 ESF Targeted Monitoring for Education Stabilization Funds"
- Click on 'view' to begin/continue to input information.

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.

Compliance Status Definitions

Finding with Corrective Action

- indicates that the LEA is not in compliance with federal and State requirements. The LEA must implement the NYSED-directed Corrective Action(s) within its Corrective Action Plan.

Common Obstacles and Solutions

Obstacle	Solution

Not seeing the connections between the ESF Applications and the ESF Targeted Monitoring Review Process.	• Review the ESF Applications for:
	  • ESSER
	  • GEER I
	  • CRRSA/ESSER II
	  • GEER II
	  • ARP ESSER
	  • ARP State Level Reserves
	• FS10s
	• FS10-As
	• FS10-Fs (if available)
	• Program Needs and Goals

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

Obstacle	Solution
Materials are not uploaded to the correct indicators within the monitoring form.	• Refer to the Recommended Evidence column or the Recommended Evidence document to identify appropriate materials are being uploaded. • Ensure that evidence is aligned to program title; for example, ARP ESSER should only include evidence that applies to ARP ESSER. • Label evidence specific to program title and indicators. • Provide a key for fiscal account codes to facilitate an accurate review of fiscal documents.

Common Obstacles and Solutions

Obstacle	Solution
Materials are not uploaded to the correct indicators within the monitoring form.	• Identify appropriate personnel to contribute to the monitoring review based on program areas. • Develop internal procedures and timeline for collecting and submitting evidence. • Ensure that there is a clear line of communication between all individuals contributing evidence.

Common Obstacles and Solutions

Obstacle	Solution
For General Programmatic, General Equitable Services, and General Fiscal indicators, incomplete evidence is uploaded.	• General indicators, sometimes referred to as cross-cutting indicators, require evidence from multiple ESF grants. For example, for General Fiscal indicators, evidence is required for ESSER, GEER I & II, CRRSA/ESSER II, ARP ESSER, and ARP ESSER State-Level Reserves. • Refer to the Recommended Evidence column or the Recommended Evidence document to ensure all necessary grants are addressed when uploading evidence to these indicators.

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.nysed.gov/federal-education-covid-response-funding/education-stimulus-fund-monitoring-and-technical-assistance for further information and resources. • Reach out to CARESAct@nysed.gov or your Lead Reviewer.

Next Steps

The LEA received their Review Group assignment on October 11, 2022. This important email will contain important dates and the contact information for the Lead Reviewer.

Review your approved ESF Grants, FS10s, Budget Narratives, and FS-10-As.

District staff should visit the NYSED Business Portal to ensure that user accounts and existing applications are up to date.

The Lead Reviewer will send a Welcome Email on the scheduled date for your Review Group. This will include important resources and reminders.

NYSED Support

- TECHNICAL SUPPORT
  - Please contact the SEDDAS Help Desk at SEDDAS@nysed.gov to resolve any questions related to user accounts, password resets, the SEDDAS application, and assistance with the Business Portal itself or contact Andrew McGrath at the Office of ESSA-Funded Programs at (518) 473-0295.

- SURVEY CONTENT SUPPORT
  - Please contact the Office of ESSA-Funded Programs at (518) 473-0295 or via email at CARESACT@nysed.gov if you have any questions or concerns regarding the content of the application/survey.
  - Please visit the ESF Monitoring website for additional resources.

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

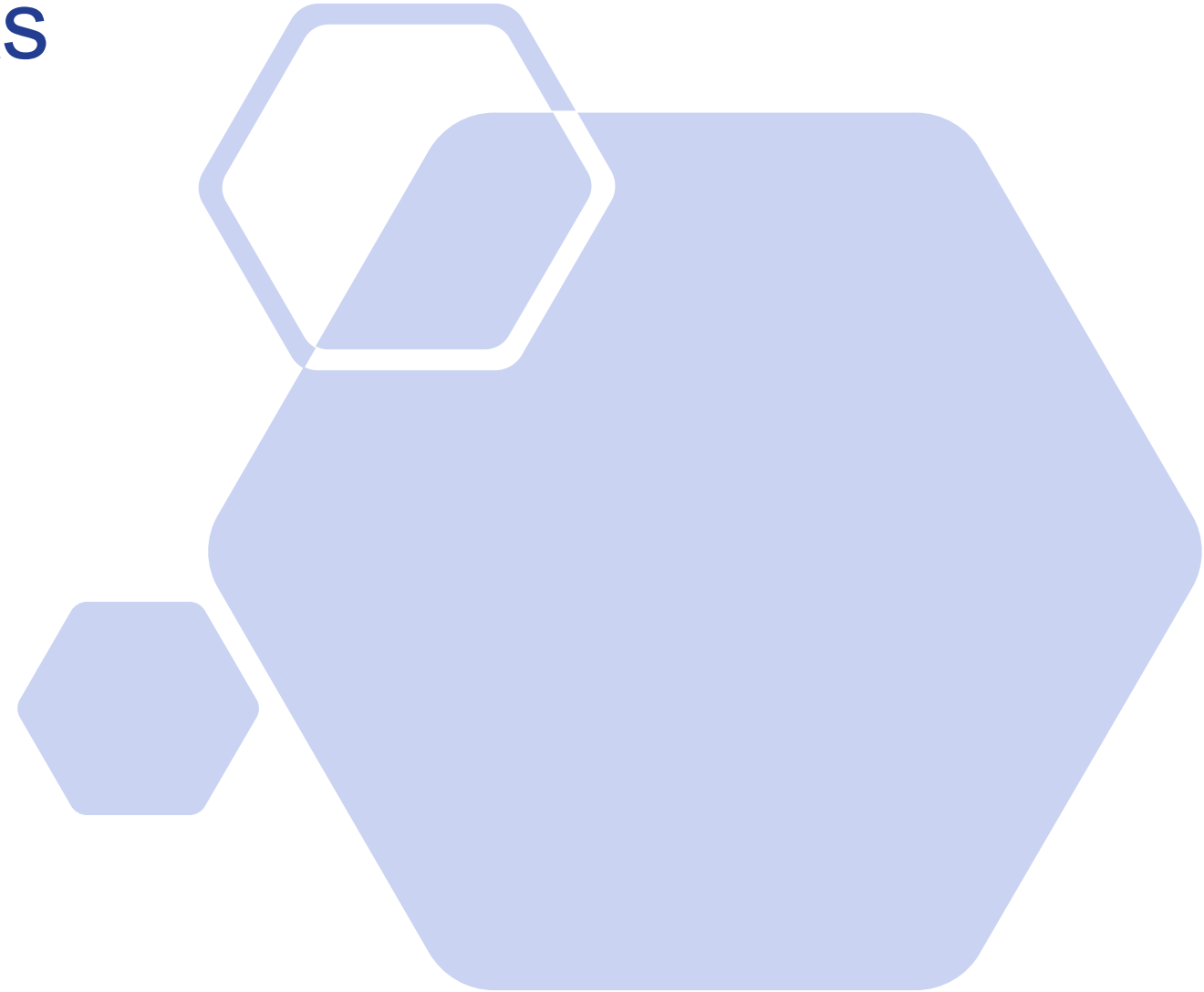
- **Where can LEAs find the document that includes an explanation of the indicators?**
  - The document can be found towards the bottom of the monitoring website under the header “Targeted Monitoring Review” as the second link titled “ESF Targeted Monitoring Indicators and Evidence.”

- **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 what the finding is, NYSED will work with LEAs to find a reasonable resolution that is the least risk. An example of what a resolution could look like 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.

Fiscal Requirements

- **What level of detail should LEAs start with for expenditure reporting? Does NYSED want expenditure reports from the financial system or are they looking for payroll records, invoice copies, purchase orders, etc.?**
  - LEAs should look at the level of detail where they can confidently justify the expenditures being made. For example, an LEA primarily paying staff salaries would look at payroll records and third-party contracts for goods and services would be those contracts and purchase orders.

- **Will NYSED require all the purchase orders and contracts, or can the reviewer request a sample?**
  - This depends on the size of the district. For some larger districts, the reviewer could look at a sample of purchase orders.



Return to In-Person Instruction

- **What is the evidence required for indicator 3 under Return to In-Person Instruction since there are no longer any CDC revisions required to the in-person instruction plan?**

  Consistent with section 2001(i)(2) of the ARP Act, LEAs are required to seek public input on whether to revise its plan and on any revisions to its plan no less frequently than every six months. Evidence should indicate the LEA discussed CDC requirements as appropriate.

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

- **What is required of districts to ensure non-public schools access their funds beyond email reminders?**
  - LEAs should demonstrate that they have made a good faith effort to provide equitable services to all participating non-public schools. A good faith effort means meaningful engagement, timely deadlines, and occurs throughout the life of the grant.
- **If the non-public schools did not spend all the funds allocated and have agreed they no longer will spend them, can the LEA re-allocate those funds to another line item in their budget?**
  - The LEA must first ask all other eligible non-public schools if they are interested in their appropriate portion of the share being declined. If all those non-public schools provide written declinations, then the LEA may use those funds for services.
- **Should LEAs note on their FS-10F which purchases were made for specific non-public schools?**
  - The LEA may want to note this for their own internal processes and tracking, but it is not a requirement for the FS-10F.

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. Copies of emails and letters would also be a component to support this evidence.

- **What happens if LEAs could not get the participating non-public schools to spend all their money and have attempted to contact them multiple times with no success? Should LEAs submit their final cost reports short of the full amount equal to what the non-public schools didn't spend?**
  - The LEA should make good faith efforts to do outreach, including clear deadlines and expectations in writing. At this time, the LEA will submit short of that full amount.

    We currently have this question out to USDE and will share if we receive more information before FS-10F's are submitted.

ARP ESSER Public Posting

- **Where can LEAs find the guidance that requires them to post the documents related to ARP ESSER and the ARP ESSER State Reserves publicly?**
  - NYSED designed the ARP application to serve as the LEAs plan and this guidance was written into the statue for ESSER funding. According to the Interim Final Rule, LEAs are required to make their plans publicly available on their website including any revisions made to the plan. The LEAs plan would consist of the application, FS-10, Budget Narrative, FS-10As, and FS-10F.
- **What ARP ESSER and ARP ESSER State Reserves documents need to be posted on the LEAs website and available to the public?**
  - The LEA is required to make their plan publicly available and post it which includes the FS-10, Budget Narrative, FS-10A and FS-10F. The LEA is not required to post the FS-25.
- **If the FS-10A had attachments do those attachments need to be posted as well?**
  - Yes. If the LEA included an attachment on their FS-10A because the number of lines was not sufficient or detailed further information, those should be posted as well.

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

Should LEAs submit an FS-10F annually or at the end of the project period?

FS-10F's should not be submitted until after all encumbrances have been liquidated (bills paid) but no later than:

- 10/30/22 for ESSER I / CARES
- 10/30/23 for CRRSA/ESSER III
- 10/30/24 for ARP ESSER & ARP ESSER State Level Reserves

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 sampling of districts?**
  - Please be advised this monitoring review is not an audit. This process is designed to ensure we are providing optimal technical assistance and looking at indicators that weren't accessed as part of the application process. Applications that were approved were substantially approvable applications and we are now in the process of going back and looking at evidence to support the work from the implementation of these programs.

    The Office of Audit Services is developing a process for auditing.

Questions?

Thank you for your continued collaboration!

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