



New York State
EDUCATION DEPARTMENT

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Education Stabilization Fund

Desk Review Monitoring

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ESF Desk Review 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.
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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

Phase II
NYSED Review

Phase III
Follow-up
activities



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.

Review Groups

	Review Block
Group A	December 2022 - April 2023
Group B	January 2023 – May 2023
Group C	March 2023 – July 2023
Group D	April 2023 – August 2023
Group E	May 2023 – September 2023
Group F	July 2023 – October 2023
Group G	August 2023 – December 2023
Group H	October 2023 – January 2024
Group I	December 2023 – April 2024
Group J	January 2024 – May 2024

Welcome Email

- Sent 3-5 weeks before the ESF Monitoring Survey is published in the NYSED Portal.
- Includes important reminders and resources.

Desk Review Monitoring Group Dates

Review Group	Date Block	Welcome Email	Portal Survey Publish Date	Portal Survey Due Date	NYSED Ratings	Corrective Actions
Group A	December 2022- April 2023	December 5, 2022	December 19, 2022	February 3, 2023	March 3, 2023	April 3, 2023
Group B	January 2023- May 2023	January 12, 2023	January 30, 2023	March 14, 2023	April 14, 2023	May 15, 2023
Group C	March 2023 – July 2023	March 13, 2023	March 29, 2023	May 10, 2023	June 9, 2023	July 10, 2023

ESF Monitoring Survey

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

Desk Review Monitoring Group Dates

Review Group	Date Block	Welcome Email	Portal Survey Publish Date	Portal Survey Due Date	NYSED Ratings	Corrective Actions
Group A	December 2022- April 2023	December 5, 2022	December 19, 2022	February 3, 2023	March 3, 2023	April 3, 2023
Group B	January 2023- May 2023	January 12, 2023	January 30, 2023	March 14, 2023	April 14, 2023	May 15, 2023
Group C	March 2023 – July 2023	March 13, 2023	March 29, 2023	May 10, 2023	June 9, 2023	July 10, 2023

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.

Desk Review Monitoring Group Dates

Review Group	Date Block	Welcome Email	Portal Survey Publish Date	Portal Survey Due Date	NYSED Ratings	Corrective Actions
Group A	December 2022- April 2023	December 5, 2022	December 19, 2022	February 3, 2023	March 3, 2023	April 3, 2023
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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

- 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 Desk Review Monitoring for Education Stabilization Funds"
 - Click on 'view' to begin/continue to input information.
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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 Monitoring Review Process.	<ul style="list-style-type: none">• Review the ESF Applications for:<ul style="list-style-type: none">• 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
<p>LEAs experience delays in uploading evidence due to confusion about obtaining user rights for appropriate personnel.</p>	<ul style="list-style-type: none"><li data-bbox="1719 249 2433 621">• Ensure all personnel who are contributing to monitoring review have appropriate access to both the ESF applications and ESF Monitoring survey.<li data-bbox="1719 692 2433 999">• Contact CARESACT@nysed.gov for information about providing access/user rights within the portal.

Common Obstacles and Solutions

Obstacle	Solution
<p>Materials are not uploaded to the correct indicators within the monitoring form.</p>	<ul style="list-style-type: none"><li data-bbox="1702 305 2333 529">• Refer to the Recommended Evidence column or the Recommended Evidence document to identify appropriate materials are being uploaded.<li data-bbox="1702 591 2364 815">• Ensure that evidence is aligned to program title; for example, ARP ESSER should only include evidence that applies to ARP ESSER.<li data-bbox="1702 876 2379 958">• Label evidence specific to program title and indicators.<li data-bbox="1702 1019 2313 1143">• Provide a key for fiscal account codes to facilitate an accurate review of fiscal documents.

Common Obstacles and Solutions

Obstacle	Solution
<p>Materials are not uploaded to the correct indicators within the monitoring form.</p>	<ul style="list-style-type: none"><li data-bbox="1719 249 2382 492">• Identify appropriate personnel to contribute to the monitoring review based on program areas.<li data-bbox="1719 564 2356 806">• Develop internal procedures and timeline for collecting and submitting evidence.<li data-bbox="1719 878 2356 1192">• Ensure that there is a clear line of communication between all individuals contributing evidence.

Common Obstacles and Solutions

Obstacle	Solution
<p>For General Programmatic, General Equitable Services, and General Fiscal indicators, incomplete evidence is uploaded.</p>	<ul style="list-style-type: none"><li data-bbox="1727 291 2372 868">• 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.<li data-bbox="1727 936 2364 1300">• 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.	<ul style="list-style-type: none">• 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 25, 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

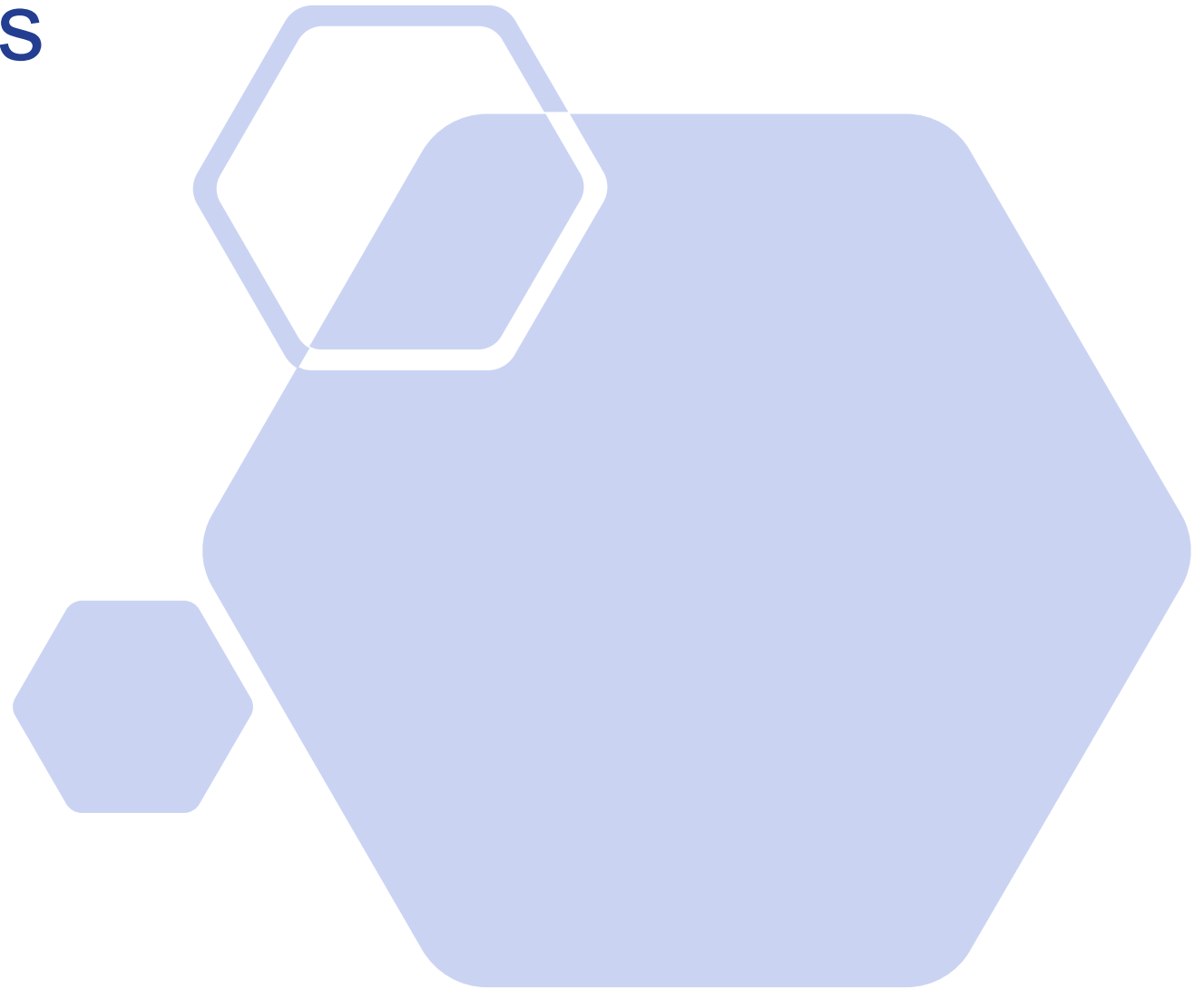
- **Does NYSED expect to revise the survey over time, or will every LEA get the same survey?**
 - NYSED does not anticipate revising the survey unless we receive corrective action from auditors.
- **Can LEAs utilize digital files to show evidence?**
 - Yes, digital files are appropriate to provide evidence.
- **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 “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.

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.

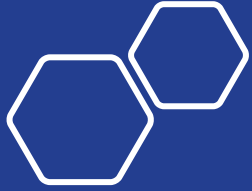
Non-Public Schools – Equitable Services

- **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.

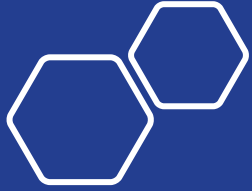


ARP ESSER Public Posting

- **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 statute 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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EDUCATION DEPARTMENT

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