

FY23 Monitoring Changes and How to Prepare

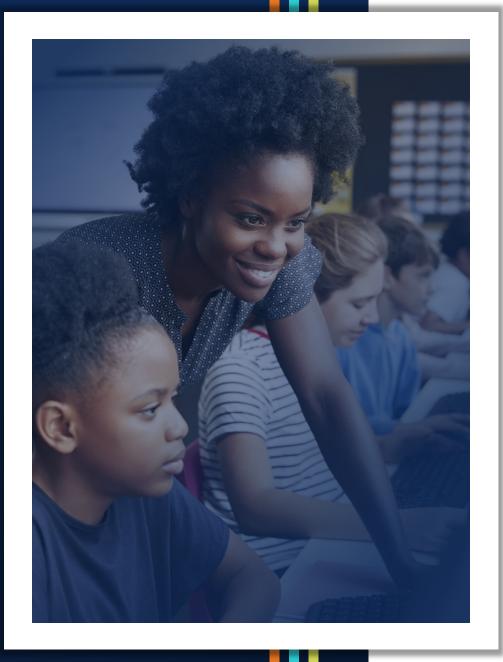
Geneva Taylor

Senior Director of Compliance Division of Federal Programs and Oversight

Aug. 31 – Sept. 1, 2022

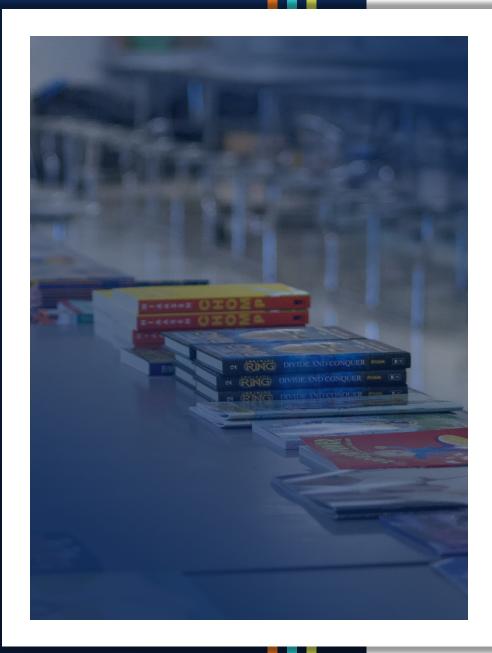






Co-Presenters

- Teri Manning-Euell | ESSA Compliance Manager
- Laura Dunn | IDEA Compliance Manager
- Michael Gateley | Perkins Compliance Manager



Agenda

- Overview
- Monitoring Instrument Overview
 - Changes and Improvements
 - Submission Process
- Risk Analysis Review
 - Mitigating Risk
- Specific Section Updates
 - ESSA
 - IDEA
 - Perkins V
 - ESSER
 - Fiscal
 - Other
- Activities
- Resources
- Conclusion

Norms and Expectations

- Take calls and necessary phone communications outside of the session room.
- Remain engaged.
- Visit a team member at the registration table if you have questions about the conference.
- All session slide decks are available in ePlan > TDOE Resources > Federal Programs and Oversight (FPO) > Federal Programs
 Professional Development > 2022 ESSA/ESSER Conference.





ACADEMICS

ALL TENNESSEE STUDENTS WILL HAVE ACCESS TO A HIGH-QUALITY EDUCATION, NO MATTER WHERE THEY LIVE

STUDENT READINESS

TENNESSEE PUBLIC SCHOOLS WILL BE EQUIPPED TO SERVE THE ACADEMIC AND NON-ACADEMIC NEEDS OF ALL STUDENTS IN THEIR CAREER PATHWAYS



SEDUCATORS

TENNESSEE WILL SET A NEW PATH FOR THE EDUCATION PROFESSION AND BE THE TOP STATE IN WHICH TO BECOME AND REMAIN A TEACHER AND LEADER FOR ALL

Session OverviewGeneva Taylor



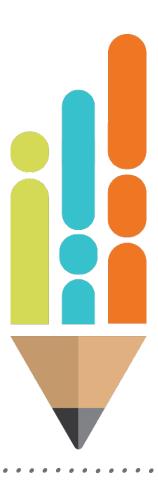
Recognition

- Trends can help your LEA mitigate risk, even if your LEA has not received findings or corrections in this area.
- We all have different areas of expertise.
- We all have a different number of years in our positions.
 - If every ESSA/ESSER director were in this room, there would be collectively over <u>1095 years</u> of experience.



FY22 Monitoring Processes

- Results-Based Monitoring
 - On-Site (beginning in FY23 known as Level 3A)
 - Virtual On-Site (beginning in FY23 known as Level 3B)
 - Desktop (beginning in FY23 known as Level 2)
 - Self-Assessment (beginning in FY23 known as Level 1)
- IEP Monitoring
- CEIS Monitoring
- CCEIS Monitoring
- Focus Monitoring



Throughout the presentation...

- Identify an area that you do well.
- Identify an area that you would like to improve.

• Identify an area (or areas) that you will prioritize when you receive access to your LEA's monitoring instrument.

Monitoring Overview

Teri Manning-Euell





The Department's Monitoring Commitments

- Engage in meaningful and open dialogue,
- Reduce the number of findings of non-compliance through trainings and technical assistance prior to monitoring,
- Provide an accurate, comprehensive review of the state of compliance for ESEA and IDEA programs,
- Highlight areas that exceed requirements,
- Provide individualized follow-up assistance based on results, and
- Empower LEAs and schools to build on compliance to implement and execute effective programs.



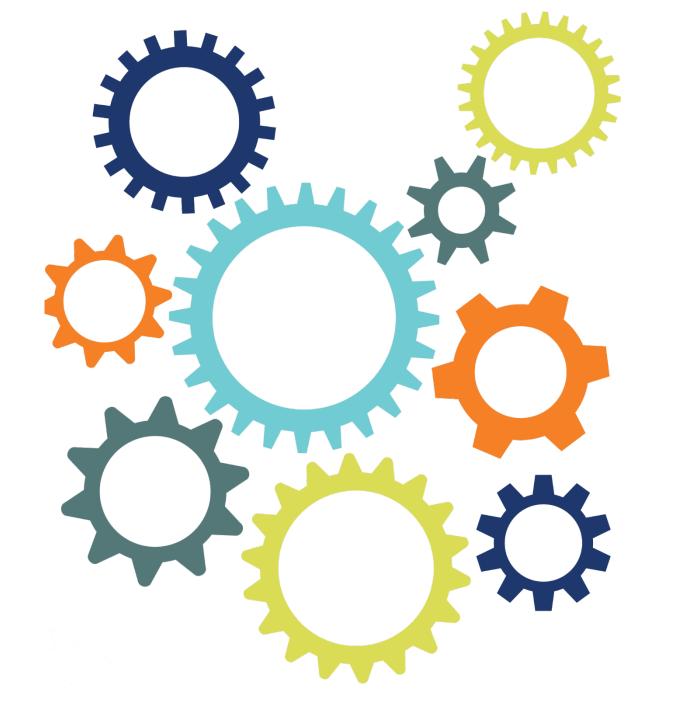
Sections of a Monitoring Instrument

- History Log
- Overview
- Site Level
- Leadership
- Fiscal Oversight
- Every Student Succeeds Act
- Individuals with Disabilities Education Act
- Non-Public and Charter Schools
- Perkins V
- ESSER
- N&D
- Extended Learning
- Monitoring Results



Overview Section of the Monitoring Instrument

- Introduction
- Instructions
- Acronyms
- Assurances
- Agenda
- Points of Contact



Logistics Michael Gateley



Results-Based Monitoring: Level 3 Details

- LEA & School-Level Components
 - **3A**: In-Person Visit
 - **3B**: Virtual Visit
- Opens for Pre-Work: Sept. 1
 - Uploads
 - Short Answer
 - Open Response
- Due: 10 business days before the LEA is to be monitored.
 - Ex. Monitoring begins Oct. 4; due Sept. 20
- Visit Range: Oct. 1 Dec. 15
 - Back-up dates available for weather or school closures
- Monitoring Results Review: Oct. 14 Jan. 13 (on Fridays)



RBM: Level 3 – ESSA/IDEA School Details

- Top 20 Most Populus LEAs:
 - **−3** Title I Eligible Schools
 - -1 Participating Non-Public (in ESSA or IDEA)
 - -1 Charter (if applicable)
 - -1 Virtual School (if applicable)
- All Other LEAs:
 - **−2** Title I Eligible Schools
 - -1 Participating Non-Public (in ESSA or IDEA)
 - -1 Virtual School (if applicable)



RBM: Level 3 – Perkins School Details

- 2 high schools or
- 20% of high schools with CTE programs (whichever is greater)



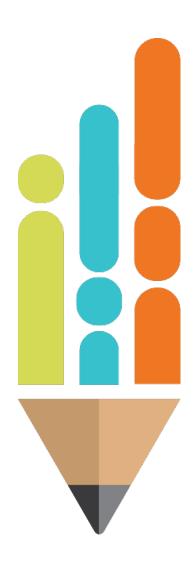
Results-Based Monitoring: Level 2 Details

- Virtual LEA-Level Conversation;
 - No School-Level Component
- Opens: Oct. 17
- Due: Dec. 15
- Virtual Discussion Range: Jan. 10 Feb. 9
- Monitoring Results Review (Exit): Jan. 27 Feb. 24 (on Fridays)



Results-Based Monitoring: Level 1 Details

- LEA-Level Submission; No School-Level or Conversation Component
- No Uploads Required
- Opens: Jan. 11
- Due: Feb. 15
- Monitoring Results available (no Exit): approx. March 31



Preparing for FY23 Results-Based Monitoring

Michael Gateley





Access ePlan

- Users with appropriate access may log in to ePlan, then choose Monitoring Instruments > 2023 > Results-Based Monitoring: Level 3.
- Click **Draft Started** at the top of the <u>Sections</u> page to begin prework.
- If access is needed, complete, and return the <u>ePlan LEA User</u> <u>Access Form</u>.
- The instrument opens on Sept. 1.



Required Evidence

- Most pages within the instrument require uploaded evidence.
- LEAs must upload at least the minimum number of documents identified next to each document name.
- If there is more than one upload, continue to add items until the proper evidence has been provided.
- Do not upload Personally Identifiable Information (PII).
 - ID numbers are encouraged instead of PII.
 - OMB Memorandum M-07-1616 refers to information used to distinguish an individual's identity, either alone or when combined with other personal or identifying information that is linkable to a specific individual. Although ePlan is a secure platform, LEAs must protect PII, and the department reviews uploads to determine compliance in the Monitoring Instrument in ePlan.



Short Answer Questions

- Most pages within the monitoring instrument require responses to short questions or statements.
- Next to each item, use the drop-down box to choose from the list.
- Some pages require users to choose between Agree and Disagree.
- If the LEA or school chooses **Disagree**, the user must provide a justification.
 - This requirement does not necessarily identify that the item is out of compliance.
- Some pages have an option to choose Not Applicable or N/A. If the user chooses Agree, Yes, or N/A there is no need to justify the response.



Open Response Questions

- Several pages within the instrument require responses to questions in an open response text box.
- Read each question or statement thoroughly and respond with enough information to address all elements of the question or statement.
 - Users do not need to reiterate items already uploaded and may instead refer monitors to specific pages of a policy to review if the answer is contained in an upload.
 - Users can bold, italicize, or underline font; change the font size or color; add bullets or numbers to lists; and use other options in the menu to add emphasis or bring attention to specific parts of the answer.
- If additional information is needed, please upload a companion document in the most appropriate area on the <u>Related Documents</u> page and communicate the name of the upload in the response area.



How to Prepare

- Divide responsibilities with colleagues in your LEA.
- Decide who at each school will be the point person for pages (if Level 3)
 - Levels 2 and 1 do not have school page responsibilities from FY23 forward.



Divide and Conquer

- Discuss responsibilities and timeline with colleagues.
- 1. First, gather uploads.
- 2. Then, answer Agree/Disagree questions.
 - Explain Disagree answers succinctly.
- 3. Answer open response questions.
 - Refer to uploads when convenient/necessary.

Tip: Do not use placeholder documents or placeholder language in answers. ePlan will remind you of blank areas with validation errors and warnings.



Ask for Help

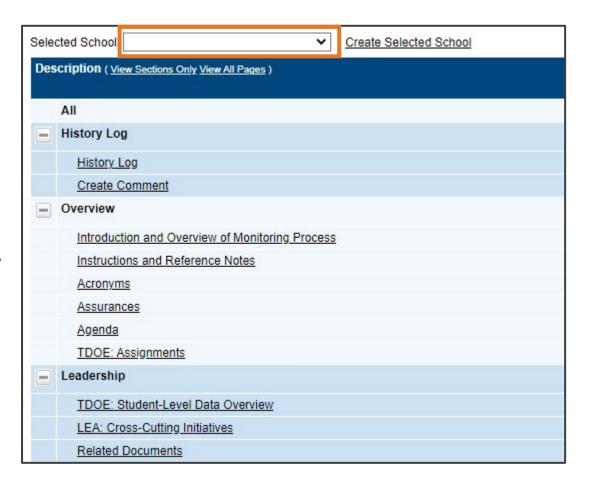
- A pre-monitoring meeting will be offered to each LEA via Microsoft Teams approximately four weeks before the monitoring dates.
- Please ask clarifying questions.
- Ask for a technical assistance (TA) meeting for support if needed.

Monitoring Walkthrough Geneva Taylor



Level 3: Default View of Monitoring Instrument

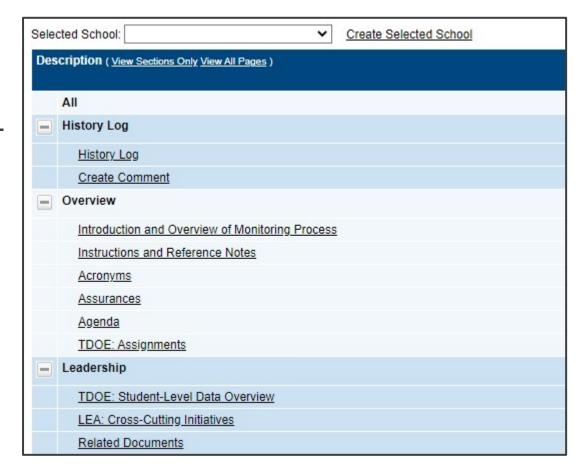
- The default view of the monitoring instrument has no school selected.
- Notice the blank dropdown box above the dark blue Description bar.

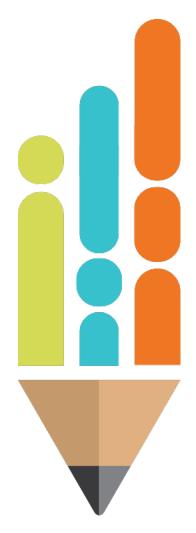




Level 3: Page Names

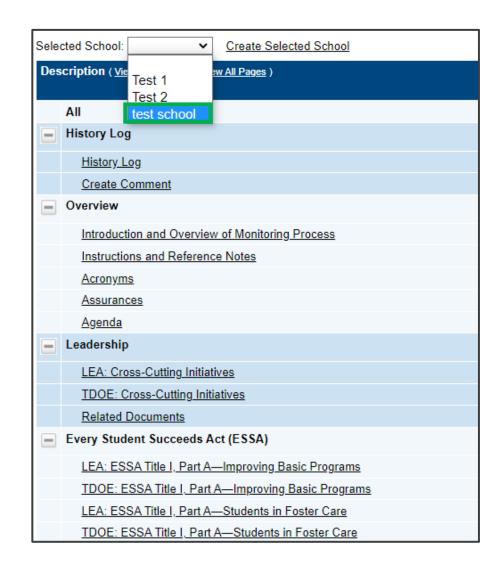
- Pages that require LEA response begin with LEA.
- Pages that require schoollevel information begin with **School**.
- Pages that are only viewable to the department begin with TDOE.





Level 3: Choosing Schools

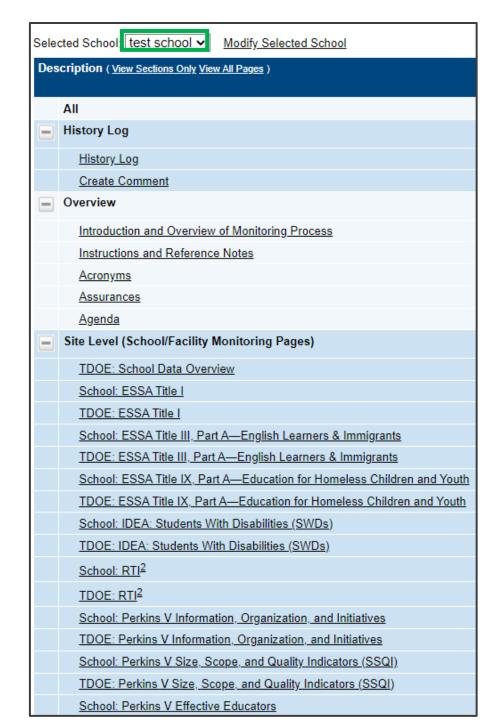
- LEA Users have access to adjust all pages, as do school users with appropriate access.
- Plan with your selected schools to determine which pages they are responsible for completing.





Choosing Schools

- Ensure the correct school is chosen from the dropdown.
- Only complete pages that begin with **School.**
- Caution! LEA-level pages still appear below the Site Level section.





All Levels: Every Page's Layout

Uploads

Required and Optional

Short Answer

- –Agree, Disagree, N/A
 - Disagree answers require a short explanation.
- Choose what is accurate so the department can meet you where you are.

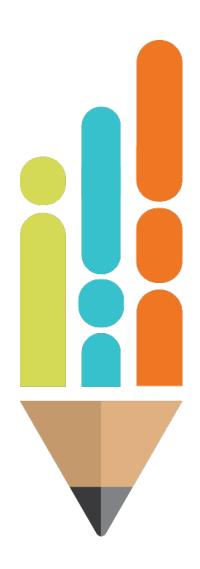
Open Response

- -Narratives
- Answer the question completely, but do not provide more than what is asked.



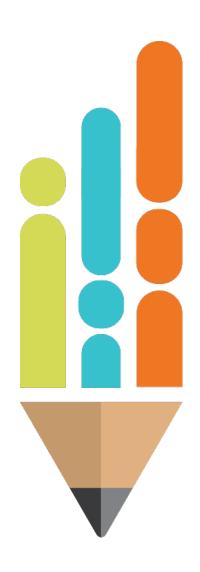
Site Level (School Level Questions)

- Schools chosen for ESSA/IDEA have the following pages active:
 - -Title I
 - -Title III
 - -Title IX
 - -IDEA
 - -RTI



Site Level (School Level Questions)

- Schools chosen for **Perkins V** have the following pages active:
 - -Information, Organization, and Initiatives
 - Effective Educators
 - -Students with Disabilities
 - -Students Preparing for Non-Traditional Fields
 - English Learners
 - -Homelessness and Foster Care



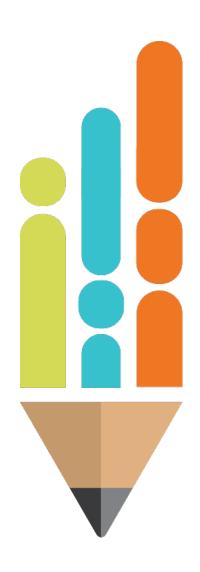
Site Level (School Level Questions)

- Facilities chosen for N&D or JDC have the following pages active:
 - -Title I, Part A, Neglected and Title I, Part D, Delinquent or
 - –JDC Facility Monitoring



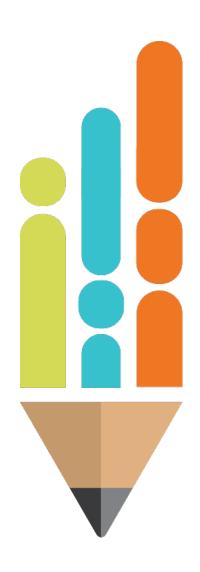
All Levels: LEA Level Sections

- Leadership
- Fiscal Oversight
- Every Student Succeeds Act (ESSA)
- Individuals with Disabilities Act (IDEA)
- Non-Public and Charter Schools
- Strengthening Career and Technical Education for the 21st Century Act (Perkins V)
- ESSER
- Students Served by Neglected and/or Delinquent Programs
- Extended Learning



All Levels: Leadership Pages

- Leadership
- Fiscal Oversight
- Every Student Succeeds Act (ESSA
- Individuals with Disabilities Act (IDEA):
- Non-Public and Charter Schools
- Strengthening Career and Technical Education for the 21st Century Act (Perkins V)
- ESSER
- Students Served by Neglected and/or Delinquent Programs
- Extended Learning



All Levels: Fiscal Oversight Pages

- Budgets and Revisions
- Travel
- Equipment
- Procurement and Contracts
- Cash Management
- Compensation/leave
- General Fiscal Requirements
- Personnel
- ESSA Use of Funds
- IDEA Use of Funds
- Perkins V Use of Funds
- ESSER (1.0, 2.0, & 3.0) Use of Funds



All Levels: ESSA Pages

- Title I, Part A Improving Basic Programs
- Title I, Part A Students in Foster Care
- Title I, Part C Education of Migratory Children
- Title II, Part A Supporting Effective Instruction
- Title III, Part A English Language Acquisition
- Title IV, Part A Student Support and Academic Enrichment
- Title IX, Part A Education for Homeless Children and Youth
- Title I, Part A Targeted Assistance School Improvement Plan Components
- Title V, Part B Rural Education Initiative
- * Not Applicable Pages will be marked N/A for LEAs.



All Levels: IDEA Pages

- IDEA, Part B
- IDEA, Part B, Preschool
- Students with Disabilities Detained in Jails



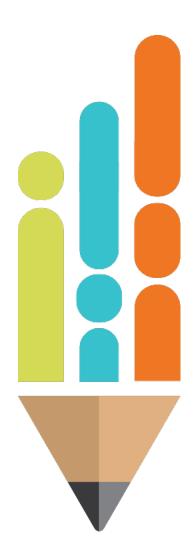
All Levels: Perkins V Pages

- Information, Organization, and Initiatives
- Effective Educators
- Students with Disabilities
- Students in Special Populations (Non-SWD Groups)



All Levels: Non-Public and Charter Schools

- ESSA Equitable Services to Non-Public Schools
- IDEA Equitable Services to Non-Public Schools
- Perkins V Equitable Services to Non-Public Schools
- Charter School Oversight
- Perkins V Charter Schools



All Levels: ESSER Pages

- ESSER 1.0
- ESSER 2.0
- ESSER 3.0



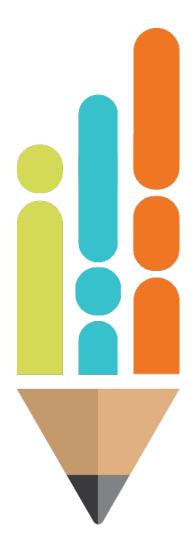
All Levels: N&D Pages

Students Served by Neglected and/or Delinquent Programs



Level 3 Only: Extended Learning Pages

Extended Learning is a new page





Submit the Instrument

- After responding to all areas, use the Validation column of the <u>Sections</u> page to confirm all items were completed.
- Confirm each uploaded document is accurate and complete.
 Once LEA and school users have completed all requirements, the LEA IDEA Director, ESEA Director, CTE Director, and Finance Director (in this order), must return to the <u>Sections</u> page to change the status to Reviewed.
- The director of schools (*LEA Authorized Representative*) must return to the *Sections* page to change the status to **LEA** Authorized Representative Approved to submit the pre-visit work to the department.



Submit the Instrument

 Additional instructions, including reminders that pre-work is due 10 business days prior to the first day of the scheduled (virtual) on-site visit, are provided in the ePlan Monitoring Instrument. Please navigate from the <u>Sections</u> page to <u>Instructions and Reference Notes</u> for complete details.

Phases of Results-Based Monitoring

Laura Dunn





Pre-Work: Monitoring Obligations

- The monitoring team:
 - notifies LEAs of their monitoring type, date(s), selected school(s), and scheduled exit date;
 - marks specific sections as not applicable based on the student population of each LEA;
 - conducts a conference call with LEA leaders to discuss the virtual visit, expectations, agenda, and answer any questions; and
 - -reviews information in ePlan, EIS, state report card, APR, etc.



Pre-Work: Monitoring Obligations

LEA-level leaders:

- review the monitoring instrument,
- participate in a pre-visit conference call via Microsoft Teams with the monitoring team,
- schedule meetings with LEA-level and school personnel to prepare for the monitoring,
- contact FPO and fiscal divisional coordinators or project directors for assistance,
- upload required evidence and respond to pre-visit questions,
- submit pre-work to the department for review prior to the virtual visit,
- confirm the agenda and needs of the monitoring team, and
- collect information not uploaded or explain why items were not available.



Pre-Work: Monitoring Obligations

- The monitoring team:
 - -reviews submitted pre-visit responses,
 - -reviews submitted required evidence,
 - -makes notes on compliant and questionable information, and
 - prepares on-site questions to facilitate conversation.



During the Visit

- FPO team members:
 - begin by meeting with LEA-level leadership for introductions,
 - -virtually visit selected schools,
 - Interview leadership team, staff, and parents.
 - Review delivery of services and implementation of IEPs.
 - Review documentation.
 - -end by interviewing LEA-level program directors, and
 - meet with LEA-level leaders to debrief and ask any additional follow-up questions.

Post-Virtual Visit and Follow-Up

- The monitoring team:
 - -finalizes the monitoring results,
 - -formally exits with LEA-level leaders during a Microsoft Teams meeting (date shared in the notification email),
 - -shares the results via ePlan, and
 - -changes the status to closed when all obligations are met.



Post-Virtual Visit and Follow-Up

- The LEA-level leadership team:
 - asks questions about monitoring results, action steps, and deadlines;
 - acknowledges that the results were reviewed with them via ePlan;
 - begins responding to results requiring action via ePlan; and
 - proactively reaches out to the monitoring team with questions while working on results.
- The assigned FPO divisional coordinators will follow up on findings of non-compliance and provide support.

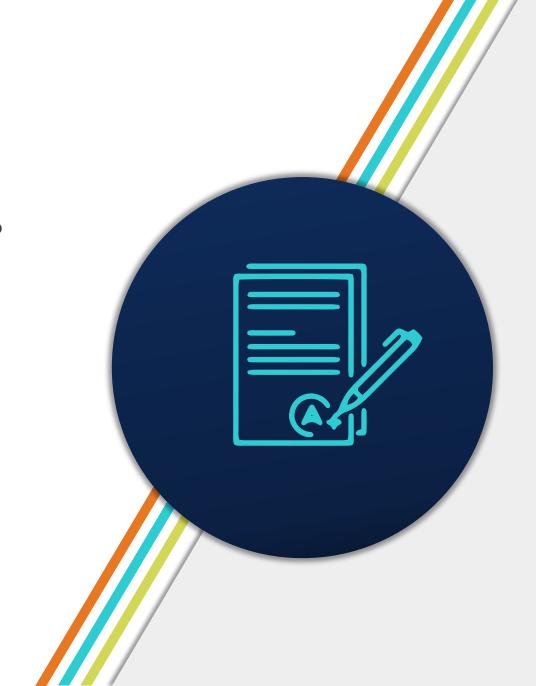


ActivityTeri Manning-Euell



Recognition

- You do hard work to benefit Tennessee students!
- Do you have the documentation to prove it?



Do you have the documentation you need to get started?

- Meeting Documentation
- ?

 Agendas with dates and titles
- ?

 Presentation Materials
- Proof of Attendance (Sign-In Sheet)
 - (legible) name and role of attendee
- Written Procedures
- Registration Documentation
- ?

 No barriers to enrollment are present for any subgroups



Resources and Summary Geneva Taylor





Resources

- Pull your LEA's most recent Monitoring Results.
 - ePlan > Monitoring Instrument > FY22 > Sections Page > Monitoring Results –
 LEA Response
- Review risk analysis data.
 - ePlan > Data and Information > FY23 > Results-Based Monitoring Risk Analysis
 - FY23 Risk Analysis Guide
- Attend FPO Monitoring Office Hours.
 - Mondays from 1 3 p.m. CT | 2 4 p.m. ET
- Review recorded webinars and other resources in ePlan and EasyIEP.
 - Required Uploads Lists are available for FY23!
- Pre-Conference Session slides in ePlan



Questions?

Results-Based Monitoring: Level 3 Details
Opens Sept. 1 | Due 10 days before monitoring

Results-Based Monitoring: Level 2 Details
Opens Oct. 17 | Due Dec. 15

Results-Based Monitoring: Level 1 Details
Opens Jan. 11 | Due Feb. 15

Fraud, Waste or Abuse

Citizens and agencies are encouraged to report fraud, waste, or abuse in State and Local government.

NOTICE: This agency is a recipient of taxpayer funding. If you observe an agency director or employee engaging in any activity which you consider to be illegal, improper or wasteful, please call the state Comptroller's toll-free Hotline:

1-800-232-5454

Notifications can also be submitted electronically at:

http://www.comptroller.tn.gov/hotline



Please Share your Feedback:

https://stateoftennessee.formstack.com/forms/fy23_monitoring_changes_and_how_to_prepare_feedback

STUDENT OUTCOMES







ESSA Coordinator Map



West

Lynn Dotson Lynn.Dotson@tn.gov

Middle

Joann Runion Joann.Runion@tn.gov

East

Henry LaFollette
Henry.LaFollette@tn.gov

20 Districts with Largest Enrollment

Heather Farley
Heather.Farley@tn.gov



IDEA Coordinator Map



West

Janet Michelle Mansfield Janet.Mansfield@tn.gov

Middle

Brett Printz Brett.Printz@tn.gov

East

Melanie Lamberson Melanie.Lamberson@tn.gov 20 Districts with Largest Enrollment

Jamie Eldridge Jamie.Eldridge@tn.gov



IEP Monitoring and Perkins Specialist Map



West

LaTrese.Watson@tn.gov

Middle

Stanley.Cook@tn.gov

East

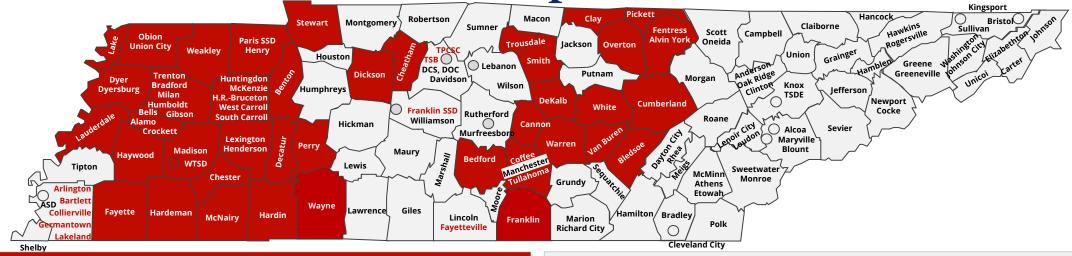
Vacant

20 Districts with Largest Enrollment

Robert.Taylor@tn.gov



FPO Divisional Coordinator Map for ESSER Funds (effective July 1, 2022)



Julia Hudson | Julia.Hudson@tn.gov

Alamo	Chester Co.	Fayette Co.	Henry Co.	Millington	TN School for the Blind
Alvin C York Institute	Clay Co.	Fayetteville City	Hollow Rock- Bruceton	Obion Co.	Trenton
Arlington	Coffee Co.	Fentress Co.	Humboldt City	Overton Co.	Trousdale Co.
Bartlett	Collierville	Franklin Co.	Huntington SSD	Paris SSD	Tullahoma City
Bedford Co.	Crockett Co.	Franklin SSD	Lake Co.	Perry Co.	Union City
Bells	Cumberland Co.	Germantown	Lakeland	Pickett Co.	Van Buren Co.
Benton Co.	Decatur Co.	Gibson Co. SD	Lauderdale Co.	Smith Co.	Warren Co.
Bledsoe Co.	DeKalb Co.	Hardeman Co.	Lexington	South Carroll SSD	Wayne Co.
Bradford	Dickson Co.	Hardin Co.	McKenzie	Stewart Co.	Weakley Co.
Cannon Co.	Dyer Co.	Haywood Co.	McNairy Co.	TN Public Charter Comm.	West Carroll SSD
Cheatham Co.	Dyersburg City	Henderson Co.	Milan	TN School Deaf (W)	White Co.

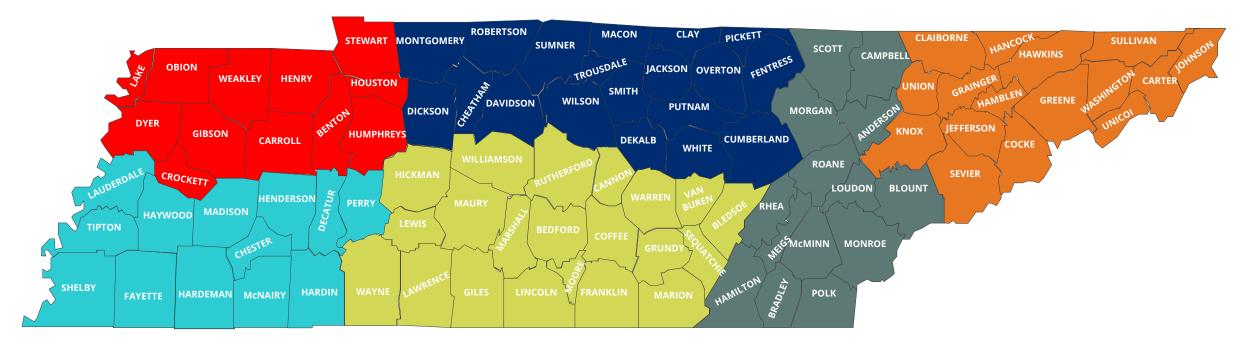
TN Department of Education

Jerri Beth Nave | Jerri.Nave@tn.gov

ASD	Cocke Co.	Hancock Co.	Lebanon SSD	McMinn Co.	Rhea Co.	Sweetwater
Alcoa	Davidson Co. (MNPS)	Hawkins Co.	Lenoir City	Meigs Co.	Richard City	Tipton Co.
Anderson	Dayton City	Hickman Co.	Lewis Co.	Monroe Co.	Roane Co.	TN School Deaf (E)
Athens	Elizabethton	Houston Co.	Lincoln Co.	Montgomery Co.	Robertson Co.	Unicoi Co.
Blount Co.	Etowah	Humphreys Co.	Loudon Co.	Moore Co.	Rogersville	Union Co.
Bradley Co.	Giles Co.	Jackson Co.	Macon Co.	Morgan Co.	Rutherford Co.	Washington Co.
Bristol	Grainger Co.	Jefferson Co.	Madison Co.	Murfreesboro City	Scott Co.	Williamson Co.
Campbell Co.	Greene Co.	Johnson City	Manchester City	Newport	Sequatchie Co.	Wilson Co.
Carter Co.	Greeneville	Johnson Co.	Marion Co.	Oak Ridge	Sevier Co.	
Claiborne Co.	Grundy Co.	Kingsport	Marshall Co.	Oneida	Shelby Co.	
Cleveland	Hamblen Co.	Knox Co.	Maryville	Polk Co.	Sullivan Co.	
Clinton	Hamilton Co.	Lawrence Co.	Maury Co.	Putnam Co.	Sumner Co.	

Regional Fiscal Consultant District Map

As of 8/16/2022



1	2	3	4	5	6
Vacant	Holly Kellar Holly.Kellar@tn.gov (731) 991-4234	Rob Mynhier Robert.Mynhier@tn.gov (615) 238-1008	Taffe Bishop Taffe.Bishop@tn.gov (423) 677-1405	Vacant	Jill Lewis Jill.Lewis@tn.gov (629) 259-1645