



# FY23 Elementary and Secondary School Emergency Relief Fund (ESSER) Subgrant Monitoring

## Technical User Guide

Tennessee Department of Education | March 2023

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# Overview of the ESSER Subgrant Monitoring Process

The purpose of ESSER Grant Monitoring is to:

- ensure the appropriate use of federal funds;
- document that funds are spent effectively to accomplish the intended purpose of the grant;
- ensure funds are used in accordance with the terms of the grant award;
- document the measurement of performance goals; and
- review needs to better inform technical assistance.

To meet these responsibilities, the department developed and implemented a comprehensive framework for monitoring ESSER grant programs.

Local education agencies (LEAs) and/or schools receiving funding through the following grant(s) must participate in monitoring:

- ❖ **Academics**
  - [HQIM Literacy Implementation Networks](#)
  - [Early Literacy Networks](#)
- ❖ **Foundations/Supporting Work**
  - Fiscal Pre-Monitoring Supports
  - Best for All District Grant
  - ESSER Planning Grant

This guide contains important information about the monitoring process, including how to gain access to the instrument in ePlan, step-by-step instructions for completing and submitting the monitoring instrument, and a monitoring timeline.

More information regarding ESSER grants can be found in [ePlan > TDOE Resources](#) > 5. Funding Applications and Grants or 6. Relief Funding.

**Note:** *Tennessee Department of Education (department) contacts for the listed subgrants above will communicate specific deadlines and review dates with LEAs and/or schools.*

# ESSER Subgrant Monitoring Access

Role	What can this role do?	Who usually has this role?
<b>ESSER Grant Director:</b> <ul style="list-style-type: none"> <li>• HQIM Literacy Implementation Networks Monitoring Director</li> <li>• Early Literacy Networks Monitoring Director</li> <li>• Fiscal Pre-Monitoring Supports Monitoring Director</li> <li>• Best for All District Monitoring Director</li> <li>• ESSER Planning Monitoring Director</li> </ul>	Add information to the instrument; acknowledge review of the instrument	Grant Point of Contact in Funding Application
<b>LEA Authorized Representative</b>	Finalize and submit the monitoring instrument	Dean/Head of School Director of Schools/Superintendents

**Note:** Users with the grant director role for the monitored grants will be automatically assigned the appropriate monitoring director role and no further action is required.

## User Requirements

All users must have the correct ePlan user access permission to access and complete the applicable ESSER Grant Monitoring instrument. Users with existing ePlan access can check their current user access permission by visiting [ePlan.tn.gov](http://ePlan.tn.gov), navigating to the Address Book and Role Contacts, and viewing who is listed with the correct monitoring role.

New ePlan users and existing ePlan users who need additional User Access roles must request those roles using the [ePlan User Access Form](#). Access the form by navigating to [ePlan.tn.gov](http://ePlan.tn.gov) > [TDOE Resources](#) > User Access Forms > [ePlan User Access Form](#). Users do not need to log in to ePlan to access TDOE Resources in ePlan. Follow the instructions on the *User Access Form* to request additional access roles.

Users need one of the following roles to access the Subgrant Monitoring instrument:

- ❖ To add information to the instrument, users must be assigned the associated **ESSER Grant Monitoring Director** role.
- ❖ The person responsible for contributing to the pre-work and acknowledgments must have the applicable **ESSER Grant Monitoring Director** role to acknowledge that they have reviewed the instrument.
  - This role will be “Grandfathered” to those who had access to work in the associated funding application.
- ❖ The Director of Schools (or the Authorized Representative at the school level) must have the **LEA Authorized Representative** role to finalize and submit the monitoring instrument. Most directors already have this role.

## Navigating to the ESSER Grant Monitoring Instrument

- ❖ For best results, open [ePlan.tn.gov](http://ePlan.tn.gov) in a Google Chrome browser window. Other browsers (e.g., Safari, Mozilla Firefox, Internet Explorer) can interfere with the ePlan platform's functionality.
- ❖ Once in ePlan, navigate to the applicable ESSER Grant Monitoring instrument by logging in and then select **Monitoring > Monitoring Instruments** from the left menu options.
- ❖ On the Monitoring Instruments page, select the current fiscal year, then the applicable **ESSER Grant Monitoring**.

## Sections Page and Starting the Draft

The applicable ESSER Grant Monitoring instrument loads to the Sections page. From this page, users can see a list of sections in the instrument and the status of the instrument.

To begin working on the applicable ESSER Grant Monitoring instrument, the instrument status must be changed from **Not Started** to **Draft Started**. Users with the appropriate **ESSER Grant Monitoring Director** and **LEA Authorized Representative** roles can make this change by clicking **Draft Started** then **Confirm**.

Status:	Not Started
Change Status To:	<a href="#">Draft Started</a>

Once the application has been placed in Draft Started status, the user will select the appropriate grant application from the Sections page.

# ESSER Subgrant Monitoring Timeline

## ***Monitoring Process***

The ESSER Grant monitoring process steps include:

### **1. Identification & Communication:**

The department identifies LEAs and/or schools based on recipients of the identified subgrants. The department notifies the identified LEA's Director of Schools (or the Authorized Representative at the school level) and ESSER Grant Director via email. All LEAs and/or schools identified as recipients of the subgrants must complete and submit this instrument.

### **2. Technical Assistance:**

The ESSER Grant monitoring process is an LEA- and school-driven process. However, the department's FPO monitoring team is available to answer questions and aid via phone and/or email prior to the required submission date. Please refer to the [Technical Assistance and Support](#) section for detailed contact information.

### **3. Completion and Submission of the ESSER Grant Monitoring Instrument:**

Each section of the monitoring instrument contains a general summary and specific instructions. The department recommends that the LEA ESSER Grant Monitoring directors lead the monitoring process to ensure the accuracy of the content within the instrument. LEA and/or school leaders must provide agree or disagree responses to the questions for each section. All LEAs and/or schools identified for monitoring must complete the instrument by the specified date listed in each subgrant monitoring instrument in ePlan.

### **4. Department Review:**

Upon receipt of each LEA's and/or school's completed instrument, the compliance team reviews the submitted information. If necessary, the compliance team contacts the appropriate LEA-level program director to request clarity or additional information; however, it is expected that monitoring instruments are complete with sufficient information prior to submission.

**Note:** *The ESSER Grant Monitoring process contains monitoring results shared with the LEA and/or schools at the conclusion of the review and may result in findings of non-compliance if areas of non-compliance are discovered, and the department may include required action steps or recommendations to ensure compliance with federal or state laws, state policy, or state board rule.*

### **5. Follow-up and Technical Assistance:**

The team responsible for the grant reviews all compiled data and short answer responses to determine areas of needed technical assistance and informs departmental program directors and other department offices of reported needs. After the review of the ESSER Grant Monitoring instruments, the department will follow up with the LEAs and/or schools on any technical assistance needs or monitoring results with required action steps. For areas of concern, such as findings of non-compliance or corrections needed, LEAs and/or schools may be required to upload updated documentation.

# Instructions and Reference Notes

## Instructions

Each LEA-level page of the instrument is divided into sections. Please read each section's instructions (below) thoroughly prior to responding to questions. After responding to all areas, use the *Validations* column of the *Sections* page to confirm all items were completed. Take the time to confirm each uploaded document is accurate and complete. Once all users have completed their entries, the LEA ESSER Grant Monitoring Director and LEA Authorized Representative (i.e., the Director of Schools) (in this order) must return to the *Sections* page to change the status to submit the applicable ESSER Grant Monitoring work to the department. At each level, the instrument may be approved or returned. Returning the instrument allows the instrument to be edited. The LEA Authorized Representative must then approve it again.

## Evidence to be Uploaded

Each subgrant determines the required and optional uploads in the monitoring instrument. For optional uploads, LEAs and/or schools may include documents to provide additional information. Only the **Related Documents** page within this instrument allows LEAs and/or schools to upload evidence.

- ❖ Documents must be clearly labeled (e.g., "Procedures for tracking services").
- ❖ Redact Personally Identifiable Information (PII)\* from all uploads.

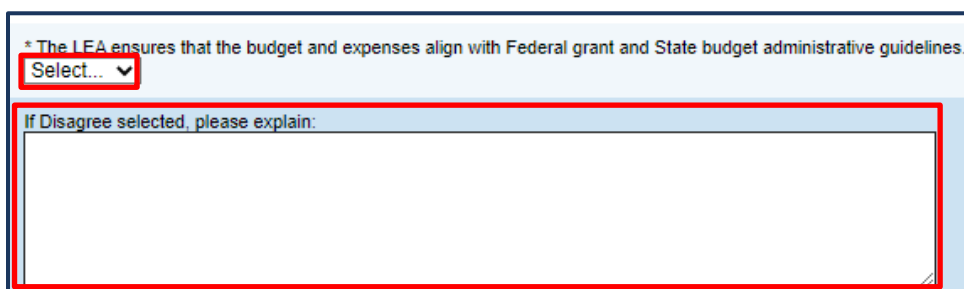
### **\*Do not upload Personally Identifiable Information (PII).**

The term "PII," as defined in OMB Memorandum M-07-1616, refers to information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual. **Redacting PII means removing any information that could potentially identify a specific individual before submitting the documentation in ePlan.** Before uploading redacted information, confirm that the personally identifiable information cannot be discerned. Please be very careful with the use of black/dark pens or markers to redact information as information is typically viewable through the marks. Redacted information **must not be visible** underneath pen marks, or visible in an electronic document by highlighting the text.

## Agree/Disagree Questions

All pages within this instrument require responses to agree/disagree questions. Next to each item, use the drop-down box or check box to select the most appropriate answer.

- ❖ If a user chooses "Agree," there is no need to justify the response.
- ❖ If a user chooses "Disagree," a short justification must be provided in the small text box under the question.



\* The LEA ensures that the budget and expenses align with Federal grant and State budget administrative guidelines.

Select... ▼

If Disagree selected, please explain:

[Text box for justification]

Some areas within the instrument have the option to choose "Not Applicable" or "N/A."

- ❖ Select N/A instead of "Disagree" when the LEA and/or school did not receive award funding for the grant.
- ❖ Marking N/A causes the section to minimize.

## ***Open Response***

A few pages within this instrument require responses to questions or statements in an open response text box. Please read each question or statement thoroughly and respond with enough information to address all elements of the question or statement.

These text boxes are HTML-enabled, meaning that 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 users wish to add more information than allowed in a text box, upload a companion document in the most appropriate area on the [Related Documents](#) page.

## **Assurances**

By contributing to and/or submitting this monitoring instrument and any associated required evidence or documentation, the LEA and/or school acknowledges that the representations made in the monitoring accurately reflect the programs, personnel, data, and procedures of the LEA (and school[s] where applicable). All records necessary to confirm the correctness of the information provided by the LEA must be kept five (5) years beyond the final reporting date and access to such records must be provided to the department upon request.

## **Validations**

When the monitoring instrument is complete, click the **Messages** link on the [Sections](#) page in the column labeled "Validation." This link provides an overview of the validations that ePlan is running behind the scenes.

Items marked "**Warning**" are validations that users are not required to address prior to submitting the instrument. An example of warnings validation is that an optional related document was not uploaded. Items marked "**Error**" are incorrect and users must address each one before submitting the instrument.

Click on the link to the left of the word "**Error**" to go to the identified page to make corrections. If the user does not address all "**Error**" validations, ePlan does not allow users to submit the instrument. Examples of errors are not uploading a required related document or not responding to a required question.

Once all errors have been resolved, the instrument is ready to submit.



# Workflow and How to Submit the Instrument

## ***Draft Started***

When the instrument opens, any LEA- or school-level staff member assigned the ***LEA Authorized Representative*** or applicable ***ESSER Grant Monitoring Director*** roles may visit the [Sections](#) page of the instrument to change the status to ***Draft Started***. Once a user chooses the **Status**, they must press **Confirm** before the status updates.

## ***Draft Completed***

When no validation errors are remaining on any of the pages, users assigned the ***LEA Authorized Representative*** or applicable ***ESSER Grant Monitoring Director*** roles may return to the [Sections](#) page of the instrument to change the status to ***Draft Completed***. Once a user chooses the **Status**, they must press **Confirm** before the status updates.

## ***ESSER Grant Monitoring Director Reviewed***

Users who have requested and received the appropriate ESSER Grant Monitoring Director role via an ePlan User Access Form may change the status from ***Draft Completed*** to ***ESSER Grant Monitoring Director Reviewed***. By changing the status, the ESSER Grant Monitoring Director agrees that all information submitted is accurate.

Once a user chooses the **Status**, they must press **Confirm** before the status updates. In addition, the director can return the instrument to its previous status if additional changes are needed prior to submission.

## ***LEA Authorized Representative Approved***

Users who have requested and received the *role* of LEA Authorized Representative (i.e., Director of Schools) via an ePlan User Access Form may change the status to ***LEA Authorized Representative Approved***. By changing the status, the LEA Authorized Representative agrees that all information submitted is accurate. Once a user chooses the **Status**, they must press **Confirm** before the status updates. In addition, the director can return the instrument to its previous status if additional changes are needed prior to submission.

After this status has been set, department staff receives notice that the instrument has been submitted for review.

## ***TDOE Monitoring Coordinator Reviewed***

A department monitoring team member, acting as the lead monitor for the LEA and/or school review, marks the instrument ***Ready for Monitoring Results Review*** after the team reviews all content provided by the LEA. In addition, the coordinator can return the instrument to its previous status if additional changes are needed prior to submission.

## ***TDOE Monitoring Director Reviewed***

A department senior director marks the monitoring instrument **Director Reviewed** once all monitoring results are reviewed and final. In addition, the senior director can return the instrument to its previous status if additional changes are needed prior to submission.

## ***Monitoring Closed***

Once all items are marked as "Yes"/Approved, the divisional coordinator requests that the LEA and/or school monitoring status be changed to **Monitoring Closed**. LEAs and/or schools with all items marked as "Yes"/Approved will be notified via email that the status of the Results-Based Monitoring instrument in ePlan has been changed to Monitoring Closed. LEAs and/or schools receive an automated notification that the monitoring has been closed.

# Printing

Users may print or download a PDF from the [Sections](#) page.

- ❖ To print the entire monitoring instrument, click the **Print** link across from the word "All" at the top of the [Sections](#) page. Note that a print request does not include any uploaded related documents.
- ❖ To print a single page, click on the **Print** link across from the name of the page.
- ❖ To print an entire section, click on the **Print** link to the far right of the section name.
- ❖ To choose multiple pages, check the **Print Select Items** box at the top of the print column to select more than one page. The **Print** links appear as checkboxes. Select all text boxes for the desired print request.
- ❖ Select the checkboxes and click **Print** at the top of the column.
- ❖ The **Print Request** screen pops up. If necessary, Users may rename their print job here.
- ❖ Click **Print**.
- ❖ The **Generating Document** screen appears. The system takes 20–30 seconds to generate the print job. For larger files, expect an email from the ePlan system when the file is ready to download.
- ❖ After ePlan generates the print file, click **Return to Planning** to return to the [Sections](#) page of the Subgrant Monitoring instrument.
- ❖ A PDF generates and appears at the top of the page from the **TDOE Resources** menu item in ePlan. The PDF link remains in **TDOE Resources** for five days. Users may use the **Delete** links to remove any print jobs if desired.

# Monitoring Results































As described in previous sections of this document, upon receipt of each LEA's completed instrument, the monitoring team reviews the submitted information. It is expected that monitoring instruments will be completed with sufficient information prior to submission. The ESSER Grant Monitoring process contains monitoring results, shared with the LEA and/or school at the conclusion of the review, and may result in findings of non-compliance if areas of non-compliance are discovered, and the department may include required action steps or recommendations to ensure compliance with federal or state laws, state policy, or state board rule.

The monitoring team will review all complied data and short answer responses to determine areas of needed technical assistance and inform FPO program directors and other department offices of reported needs. After the review of ESSER Grant Monitoring data, the FPO program directors will follow up with the LEAs and/or schools on any technical assistance needs or monitoring results with required action steps. For areas of concern, such as findings of non-compliance or corrections needed, LEAs and/or schools may be required to upload updated documentation.

## Monitoring Results—LEA Response

Once the LEA receives an automated notification from ePlan that the status has changed to **TDOE Director Reviewed**, monitoring results are ready to view. The LEA must first change the status to **LEA Results Review Started** and then **Confirm**. Hovering the mouse over the status allows users to see who can change the status on behalf of the LEA.

Once the status has been changed, scroll to the bottom of the **Sections** menu, then choose **Monitoring Results-LEA Response** to view results. There are six possible results for each item:

					<b>Finding(s) of Non-Compliance:</b> Significant compliance and quality concerns of federally-required components
					<b>Corrections Required:</b> Compliance and quality concerns of state-required components
					<b>Improvement Recommended:</b> Marginally satisfactory compliance with quality concerns
					<b>Met Requirements:</b> Satisfactory program implementation and compliance with reviewed components
					<b>Exceeded Requirements:</b> High-quality program implementation and compliance with state and federal program requirements
					<b>Not Applicable:</b> LEA does not participate in the program

Findings of Non-Compliance and Corrections Needed include descriptions, action steps, and required documentation that the LEA and/or school must respond to by uploading items. Use the **pencil icon** to upload a document where required. Once the upload has been saved, the department automatically receives a notification on Wednesday and Sunday after the upload until it has been reviewed and marked as approved or not.

If a monitoring team member marks an item as approved, no additional action is required by the LEA and/or school for this monitoring process. If a monitoring team member marks an item as not approved, a

comment will be included on the right side of the monitoring result to provide technical support until all items have been marked approved.

Upon marking the last item as approved, a monitoring team member requests that the senior director of compliance conduct a final review and change the status to **Monitoring Closed**.

## Technical Assistance and Support

### **ESSER: Academics, ESSER: Student Readiness, and ESSER: Foundations, Support**

#### ❖ Academics

- **HQIM Literacy Implementation Networks**
  - Tess Yates | [Tess.Yates@tn.gov](mailto:Tess.Yates@tn.gov) or (615) 306-3829
  - Tiffany Brown | [Tiffany.Brown@tn.gov](mailto:Tiffany.Brown@tn.gov) or (615) 306-3829
  - Christy Wall | [Christy.Wall@tn.gov](mailto:Christy.Wall@tn.gov) or (615) 306-3829
- **Early Literacy Networks**
  - Tess Yates | [Tess.Yates@tn.gov](mailto:Tess.Yates@tn.gov) or (615) 306-3829
  - Tiffany Brown | [Tiffany.Brown@tn.gov](mailto:Tiffany.Brown@tn.gov) or (615) 306-3829
  - Christy Wall | [Christy.Wall@tn.gov](mailto:Christy.Wall@tn.gov) or (615) 306-3829

#### ❖ Foundations/Supporting Work

- **Fiscal Pre-Monitoring Supports**
  - Geneva Taylor | [Geneva.Taylor@tn.gov](mailto:Geneva.Taylor@tn.gov) or (615) 580-2039
  - Michael Gateley | [Michael.Gateley@tn.gov](mailto:Michael.Gateley@tn.gov) or (931) 349-7097
- **Best for All District Grant**
  - Dominique Davis | [Dominique.Davis@tn.gov](mailto:Dominique.Davis@tn.gov) or (865) 227-8474
  - Ginger Leach | [Ginger.Leach@tn.gov](mailto:Ginger.Leach@tn.gov) or (865) 594-9444
  - Justin Barker | [Justin.Barker@tn.gov](mailto:Justin.Barker@tn.gov) or (615) 253-7442
- **ESSER Planning Grant**
  - Dominique Davis | [Dominique.Davis@tn.gov](mailto:Dominique.Davis@tn.gov) or (865) 227-8474
  - Ginger Leach | [Ginger.Leach@tn.gov](mailto:Ginger.Leach@tn.gov) or (865) 594-9444
  - Justin Barker | [Justin.Barker@tn.gov](mailto:Justin.Barker@tn.gov) or (615) 253-7442

## General Monitoring Support

LEAs and/or schools may also seek additional monitoring support from the following:

- **Geneva Taylor** | Senior Director of Compliance
  - [Geneva.Taylor@tn.gov](mailto:Geneva.Taylor@tn.gov)
  - (615) 580-2039
- **Michael Gateley** | Perkins Compliance Manager
  - [Michael.Gateley@tn.gov](mailto:Michael.Gateley@tn.gov)
  - (931) 349-7097
- **Teri Manning-Euell** | ESSA Compliance Manager
  - [Teri.Manning@tn.gov](mailto:Teri.Manning@tn.gov)
  - (901) 422-1749

## ***Extensions to Deadlines***

If an LEA must request an extension to the submission deadline or a Monitoring Result deadline, please reach out before the date listed within the instrument via email to the appropriate point of contact listed in [Technical Assistance and Support](#) to request an extension and include a new requested deadline that is reasonable and ambitious and the reason for the request. The compliance review team considers all written requests within two business days and the user who made the request will receive a reply via email.