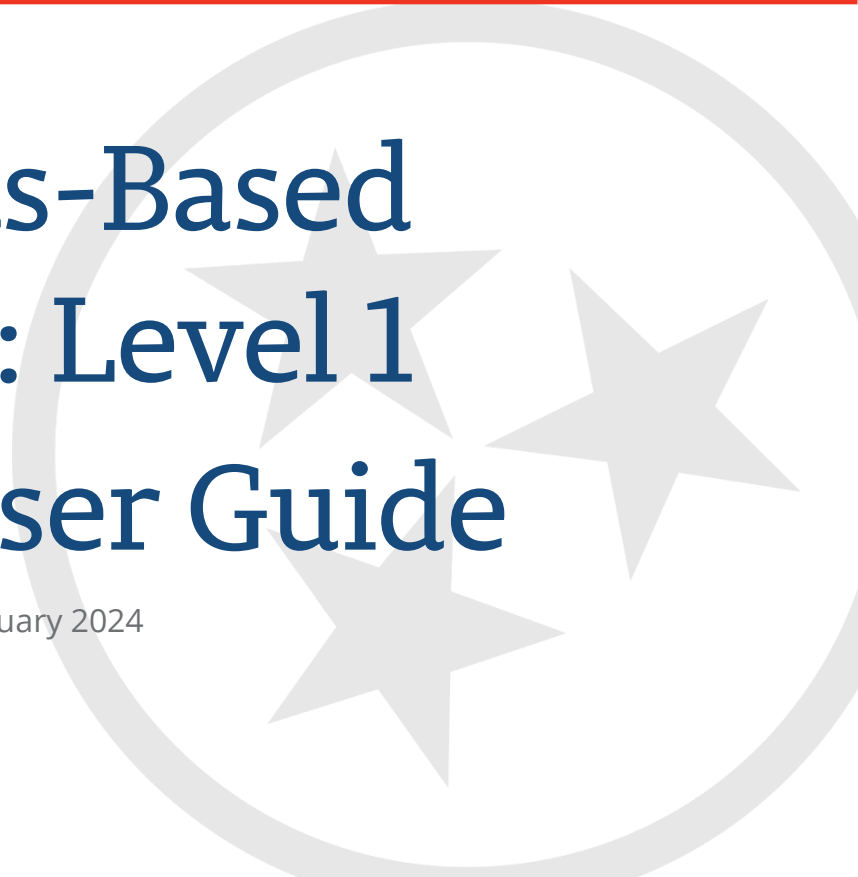# FY24 Results-Based Monitoring: Level 1 Technical User Guide

Tennessee Department of Education | January 2024

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Updates for the FY24 Results-Based Monitoring: Level 1

For FY24, ESEA, IDEA, Perkins V, Relief funds, and Fiscal monitoring are combined in the Results-Based Monitoring (RBM) Level 1 instrument, rather than being in separate instruments.

To streamline the process of completing the monitoring instrument for local educational agencies (LEAs), the Tennessee Department of Education (department) has reviewed and updated the response requirements in the FY24Results-Based Monitoring: Level 1 for all programs. Changes include:

- a greater percentage of agree/disagree questions,
- minimal open-response questions, and
- eliminated required uploads.

Results-Based Monitoring: Level 1: How to Access

Role	What can this role do?	Who usually has this role?
LEA Results-based Monitoring Data Entry	Add information to the instrument	Individuals who need to contribute to the instrument but cannot submit
ESSA Director (Monitoring)	Add information to the instrument; change the status of the instrument to *Returned* or *Reviewed*	Federal Programs Directors
IDEA Director (Monitoring)	Add information to the instrument; change the status of the instrument to *Returned* or *Reviewed*	Special Education Directors
CTE Director (Monitoring)	Change the status of the instrument to *Returned* or *Reviewed*	CTE Directors
Fiscal Representative	Change the status of the instrument to *Returned* or *Reviewed*	Fiscal Directors
LEA Authorized Representative	Change the status of the instrument to *Returned* or *Approved*	Director of Schools/Superintendents

User Requirements: LEA-Level

All users must have the correct ePlan user access permission to access and complete the Results-Based Monitoring Results-Based Monitoring: Level 1 instrument. Users with existing ePlan access can check their current user access permission by visiting ePlan.tn.gov, navigating to the Address Book and LEA Role Contacts, and viewing who is listed with the Monitoring Update Role.

LEA User Access Administrators can add and delete most LEA-level roles for LEA ePlan users. LEA User Access Administrators cannot add roles that finalize and approve funding applications or monitoring instruments; additional LEA User Access Administrators; or State-level roles. These additional LEA roles must be added by the Tennessee Department of Education's ePlan help team. Users can request these roles via the ePlan User Access Form for LEAs or the ePlan User Access Form for LEA User Access Administrators.

For more information about this change, please see the [ePlan LEA User Access Administrator Manual](#).

Users need one of the following roles to access the Results-Based Monitoring Results-Based Monitoring: Level 1 instrument:

- To add information to the instrument, site-level users must be assigned the **LEA Results-based Monitoring Data Entry** role. Other roles that can add information to the instrument are the **ESSA Director (Monitoring)** and **IDEA Director (Monitoring)**.
- The ESSA director must have the **ESSA Director (Monitoring)** role to acknowledge that they have reviewed the instrument. Most federal programs directors have this role unless they have not yet participated in a Results-Based Monitoring process in this role.
- The IDEA director must have the **IDEA Director (Monitoring)** role to acknowledge that they have reviewed the instrument. Most IDEA directors have this role unless they have not yet participated in a Results-Based Monitoring process in this role.
- The CTE director must have the **CTE Director (Monitoring)** role to acknowledge that they have reviewed the instrument. Most CTE directors have this role unless they have not yet participated in a Results-Based Monitoring process in this role.
- The fiscal director must have the **Fiscal Representative** role to acknowledge that they have reviewed the instrument. Most fiscal directors have this role unless they have not yet participated in a Results-Based Monitoring process in this role.
  Note: LEA User Access Administrators cannot assign this role.
- The director of schools must have the **LEA Authorized Representative** role to finalize and submit the monitoring instrument. Most directors already have this role.
  Note: LEA User Access Administrators cannot assign this role.

Navigating to the Results-Based Monitoring: Level 1 Instrument

- For best results, open [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 Results-Based Monitoring Results-Based Monitoring: Level 1 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 **Results-Based Monitoring: Level 1.**

Sections Page and Starting the Draft

The Results-Based Monitoring: Level 1 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 Results-Based Monitoring: Level 1 instrument, the instrument status must be changed from **Not Started** to **Draft Started**. Users with the **ESSA Director (Monitoring)**, **IDEA Director (Monitoring)**, **LEA Authorized Representative**, **CTE Director (Monitoring), Fiscal Representative,** and **LEA Results-based Monitoring Data Entry** roles can make this change by clicking **Draft Started** then **Confirm**.

Introduction and Overview of the Monitoring Process

Overview

Requirements outlined in the Elementary and Secondary Education Act (ESEA) as reauthorized by the Every Student Succeeds Act (ESSA), the Individuals with Disabilities Education Act (IDEA), The Strengthening Career and Technical Education for the 21st Century Act (Perkins V), the Coronavirus Aid, Relief, and Economic Security (CARES) Act (ESSER 1.0), the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSA, ESSER 2.0), the American Rescue Plan Act (ARP, ESSER 3.0), the General Education Provisions Act (GEPA), the Education Department General Administrative Regulations (EDGAR), and the Uniform Grant Guidance (UGG) mandate that state education agencies (SEAs) provide technical assistance to LEAs, as well as oversee and monitor the implementation of federal grants. These responsibilities are part of the primary work of the division of federal programs and oversight (FPO) at the Tennessee Department of Education (department). To meet these responsibilities, FPO implemented a comprehensive three-tier results-based framework for monitoring ESEA and IDEA programs in 2016–17.

Tennessee's multi-tiered monitoring framework includes three distinctive levels: Level 3, Level 2, and Level 1. A risk analysis comprised of multiple factors identifies the level of risk and likelihood that an LEA may not comply with certain requirements. Results from the analysis designate each LEA's risk as one of three levels: significant (which results in a Level 3 visit), elevated (which identifies LEAs for participation in Level 2 monitoring), or low risk (with LEAs completing a Level 1). Each LEA in the state must participate in one level of monitoring. A random selection of one or more LEAs to participate in Level 3 monitoring occurs prior to determining the Level 2 and Level 1 selections.

To provide comprehensive monitoring of multiple federal programs, numerous staff members across multiple divisions in the department are involved with the related processes. Divisional coordinators provide technical assistance to LEAs and are primarily responsible for conducting Level 3 and Level 2 monitoring. In addition, state project directors participate in the monitoring processes to review and provide input on the monitoring instrument (embedded in ePlan) and Monitoring Results shared with LEAs. FPO staff members also review the results of the Results-Based Monitoring: Level 1 submissions each year and share the results to inform technical assistance needs.

Monitoring Process

The Results-Based Monitoring: Level 1 monitoring process steps include:

1. Identification:

The department identifies LEAs based on the results of the risk analysis in July. The department conducts a Results-Based Monitoring: Level 1 monitoring review of the programs of those LEAs demonstrating low risk (approximately 80 percent of all LEAs annually). This monitoring is programmatic only, though it may coincide with a Level 3 fiscal monitoring if an LEA demonstrates significant risk in fiscal categories. Unless otherwise noted in the instrument, the questions relate to the current school year.

2. Data Collection:

The department examines assessment and growth data for LEAs and schools by proficiency levels, subjects, and subgroups (SWD, ED, EL, etc.), the LEA's consolidated application and budgets for ESEA and IDEA programs, applicable discretionary grants, LEA and school plans, data uploaded to EIS from the student

management system, state report card, and LEA and school websites. These data elements give department staff an idea of the structure of the LEA and help guide the monitoring review.

3. Communication:

The department notifies the identified LEA's director of schools, ESSA director, and IDEA director via email in August. LEAs identified for Level 3 or Level 2 monitoring were informed in the summer; they are not required to participate in the Level 1 process. Only LEAs that were not identified for Level 3 or Level 2 must complete and submit this instrument. FPO communicated this requirement in FPO Updates.

4. Technical Assistance:

The Results-Based Monitoring: Level 1 monitoring process is an LEA-driven process. However, the FPO compliance team or senior director of compliance is available to answer questions and aid via phone and/or email prior to the required submission date. In addition, FPO divisional coordinators are available for assistance.

5. Completion and Submission of the Results-Based Monitoring: Level 1 Instrument:

The department recommends that LEA ESSA and IDEA directors lead the Results-Based Monitoring: Level 1 process to ensure the accuracy of the content within the instrument. LEA leaders must provide agree or disagree responses to the questions for each section. Each section contains a general summary as well as specific instructions. Additionally, there is a section toward the end of the Results-Based Monitoring: Level 1 to allow LEAs to identify a positive program attribute, practice, policy, or procedure. Please use this section to identify and explain at least one item regarding practices at the LEA level. The department opens the Monitoring Instrument in ePlan for LEAs to respond to Results-Based Monitoring: Level 1 questions. All LEAs identified for Results-Based Monitoring: Level 1 must complete the instrument and fully submit it by **Feb. 15, 2024**.

6. Department Review:

Upon receipt of each LEA'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 Results-Based Monitoring: Level 1 monitoring process contains Monitoring Results, shared with the LEA 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.*

7. Follow-up and Technical Assistance:

By **April 30**, the compliance team reviews all compiled 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 Results-Based Monitoring: Level 1 data, FPO divisional coordinators follow up with the LEAs 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 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 IDEA director, ESSA director, CTE Director, Fiscal Representative, and Authorized Representative (i.e., the director of schools) (in this order) must return to the *Sections* page to change the status to submit the Results-Based Monitoring: Level 1 work to the department. At each level, the instrument may be approved, or returned. Returning the instrument allows the instrument to be edited. IDEA, ESSA, and CTE Directors, and the Fiscal and Authorized Representative must then approve it again.

Do not upload or provide 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 providing information, confirm that the personally identifiable information cannot be accessed. 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.

Some areas within the instrument have the option to choose "Not Applicable" or "N/A."
- Select N/A instead of "Disagree" when the LEA or school does not participate in a particular program or does not utilize the mentioned strategy.
- If a user chooses "N/A," there is no need to justify the response.

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, please 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 local education agency acknowledges that the representations made in this 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 agency will be kept five years beyond the final reporting date and access to such records will be provided to the Tennessee Department of Education 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 LEA 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-level staff member assigned the **Authorized Representative**, **ESSA Director**, **IDEA Director**, **CTE Director, Fiscal Representative,** _or_ **Results-Based Monitoring Data Entry** 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 **Authorized Representative**, **ESSA Director**, **IDEA Director**, **CTE Director, Fiscal Representative** _or_ **Results-Based Monitoring Data Entry** 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.

IDEA Director Reviewed

Users who have requested and received the **IDEA Director** role via an ePlan User Access Form may change the status from **Draft Completed** to **IDEA Director Reviewed**. By changing the status, the IDEA 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.

ESSA Director Reviewed

Users who have requested and received the ESSA Director role via an ePlan User Access Form may change the status from **IDEA Director Reviewed** to **ESSA Director Reviewed**. By changing the status, the ESSA

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.

CTE Director Reviewed

Users who have requested and received the CTE Director role via an ePlan User Access Form may change the status from **ESSA Director Reviewed** to **CTE Director Reviewed**. By changing the status, the CTE 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.

Fiscal Representative Approved

Users who have requested and received the Fiscal Representative role via an ePlan User Access Form may change the status from **CTE Director Reviewed** to **Fiscal Representative Approved**. By changing the status, the CTE 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.

Note*: If one person serves in more than one of the roles mentioned above, that individual must have both roles and change the status twice.*

Authorized Representative Approved

Users who have requested and received the *role* of Authorized Representative (the director of schools) via an ePlan User Access Form may change the status from **Fiscal Representative Approved** to **Authorized Representative Approved**. By changing the status, the Director of Schools 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 a notice that the instrument has been submitted for review.

TDOE FPO Divisional Coordinator Reviewed

A department monitoring team member, acting as the lead monitor for the LEA 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 FPO 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 monitoring status be changed to Monitoring Closed. LEAs 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 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 Results-Based Monitoring: Level 1 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

Upon receipt of each LEA's completed instrument, the monitoring team reviews the submitted information. It is expected that monitoring instruments are completed with sufficient information prior to submission. The Results-Based Monitoring: Level 1 process contains Monitoring Results, shared with the LEA 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.

By **April 30**, the FPO and finance coordinators 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 Results-Based Monitoring: Level 1 data, FPO divisional coordinators follow up with the LEAs 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 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 **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.

● ● ● ● ● **Finding(s) of Non-Compliance**: Significant compliance and quality concerns of federally-required components

● ● ● ● ● **Corrections Required**: Compliance and quality concerns of state-required components

● ● ● ● ● **Improvement Recommended**: Marginally satisfactory compliance with quality concerns

● ● ● ● ● **Met Requirements**: Satisfactory program implementation and compliance with reviewed components

● ● ● ● ● **Exceeded Requirements**: High-quality program implementation and compliance with state and federal program requirements

● ● ● ● ● **Not Applicable**: LEA does not participate in the program

Findings of Non-Compliance and Corrections Required include descriptions, action steps, and required documentation that the LEA 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 coordinator marks an item as approved, no additional action is required by the LEA for this monitoring process. If a coordinator marks an item as not approved, he/she adds a comment to 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, an FPO or finance coordinator requests that the senior director of compliance conduct a final review and change the status to **Monitoring Closed.**

Technical Assistance and Support
ESEA, IDEA, and Relief Funding Support

Please contact the LEA's assigned [FPO divisional coordinator(s)](#) or [relief coordinator(s)](#) for support, including support about how to answer questions that do not seem clear or address specific uploads.

Fiscal Support

Please contact the LEA's assigned [finance consultant](#).

General Monitoring Support

Contact the ESSA Compliance Manager, **Teri Manning-Euell**, at Teri.Manning@tn.gov or (901) 422-1749.

Contact the IDEA Compliance Manager, **Laura Dunn**, at Laura.Dunn@tn.gov or (615) 961-1331.

Contact the Perkins Compliance Manager, **Michael Gateley**, at Michael.Gateley@tn.gov or (931) 349-7097.

LEAs may also seek support from the Senior Director of Compliance, **Geneva Taylor**, at Geneva.Taylor@tn.gov or (615) 580-2039.

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 FPO.Monitoring@tn.gov 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.