Compliance FY 21



2021 Compliance Training

Presenters

Diane A. Neal, Ph.D. *Assistant Director*

Randy Richardson, *Education Specialist*

Michael Crace, *Education Specialist*

Paul Preston, *Education Specialist*

Today's Agenda

- ✓ Purpose of Monitoring
- ✓ Levels and Risk Factors
- ✓ Timelines for Monitoring
- ✓ Updates for FY21
- ✓ Preparing for Monitoring

Three Tiers of Support

The Risk Factors

- Every year, the Department identifies a set of risk factors and scores
- May be subject to change as federal requirements/expectations change
- FY2020: 17 factors
- ESSER: 4 factors

Words for the Wise…

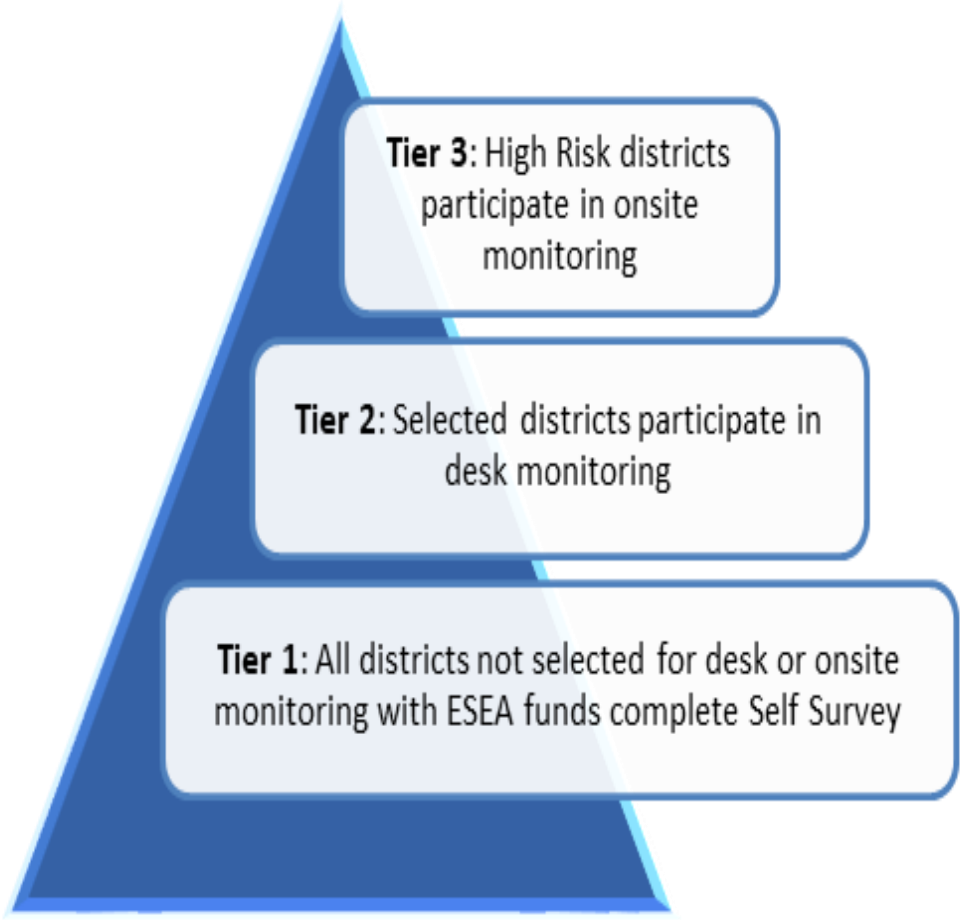
- Complete the Self-Survey
- Spend your Money
- Provide your Nonpublic Equitable Services

- "What did we do wrong to get monitored?”
  - Nothing, monitoring is a part of the process
  - Not punitive, here to help

Monitoring Purpose

- Provide supports.
- Focus is not only on non-compliance.
- Provide technical assistance.
- Share guidance on allowable uses of funds.
- Assist with implementing changes.
- Strengthen programs through a three-tier monitoring approach.

Three Tier Approach to Monitoring



FY 21 Breakdown

- 30 On-Sites
- 62 Desk Reviews
- 30 Modified Desk Reviews
- 793 Self-Surveys

New FY21 Monitoring and Tracking System

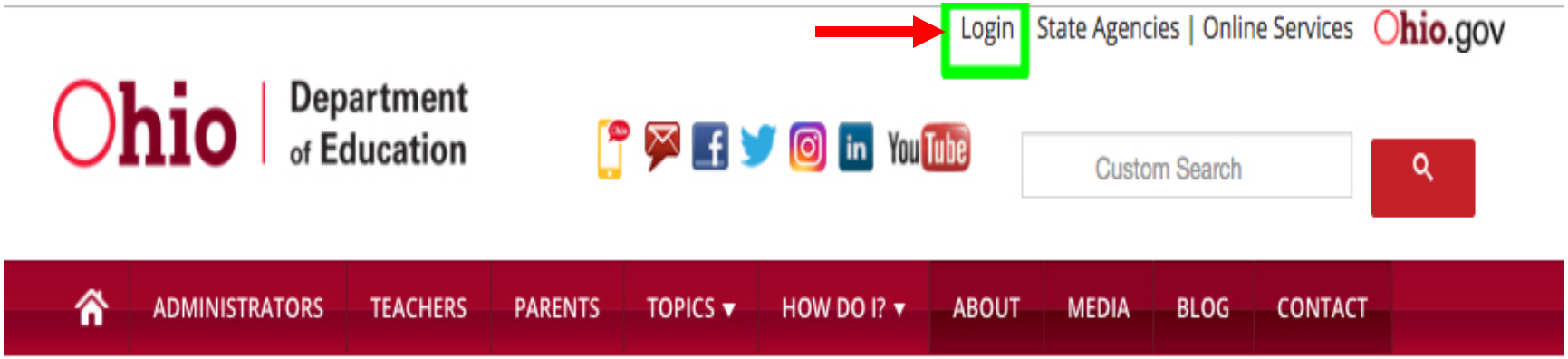
Introducing the FY21 Monitoring System

- FY21 monitoring will begin
- A New compliance monitoring system
- Process Similar to One Needs Assessment
- Designed to enhance user's experience

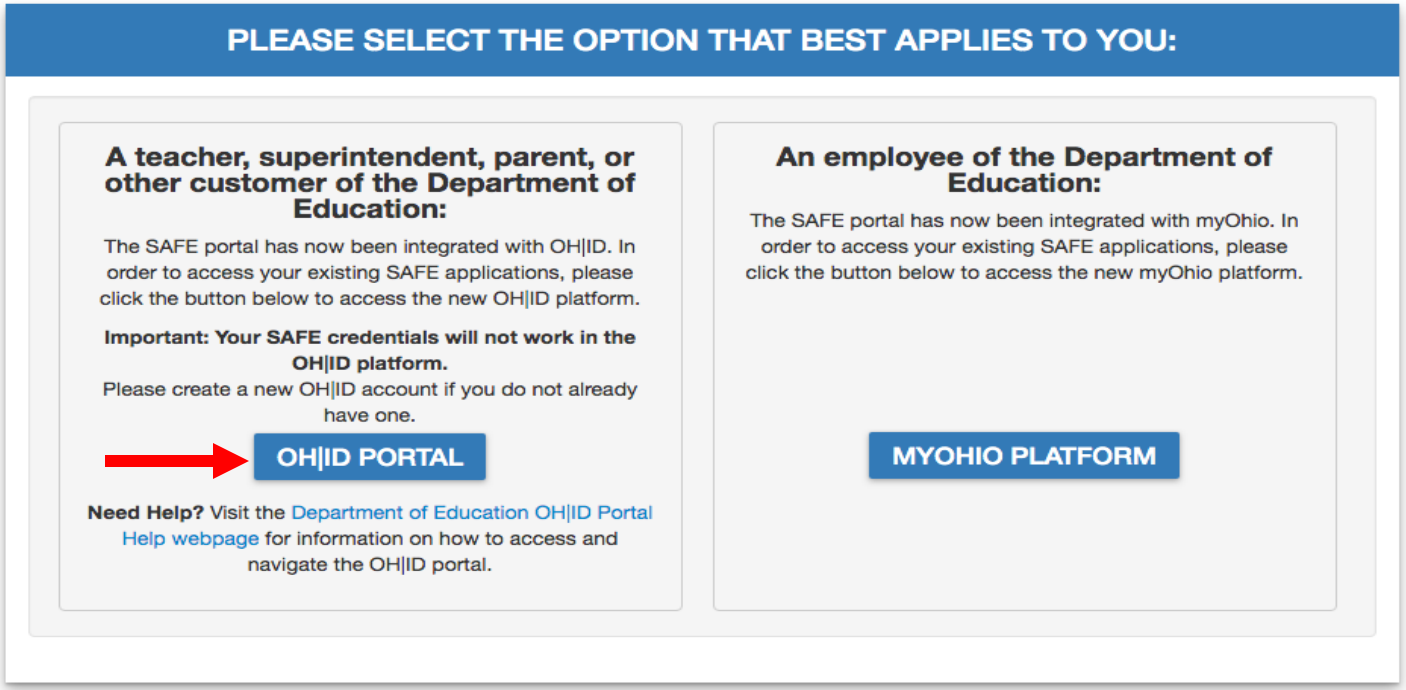
Logging on through OH/ID Account

Former SAFE (Secure Application for Enterprise)

Use OH|ID portal by clicking the “Login” link at the top of the Department of Education homepage or going to the OH|ID portal directly at ohid.ohio.gov.



Click on the "**OH|ID Portal**" button

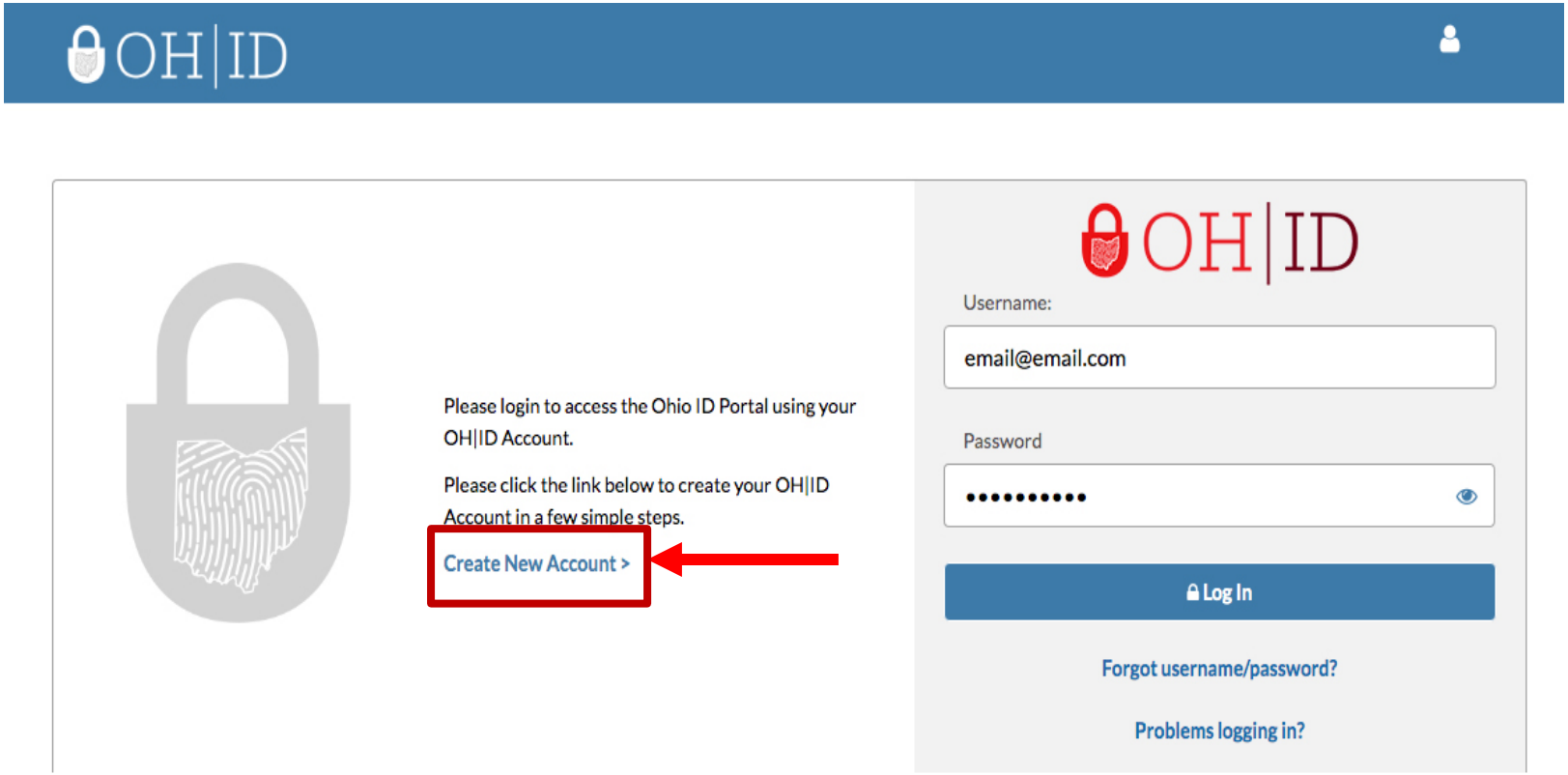


Enter your OH|ID username, password and click the "**Log In**" button

Note: Attempting to log into OH|ID with SAFE credentials will not work.

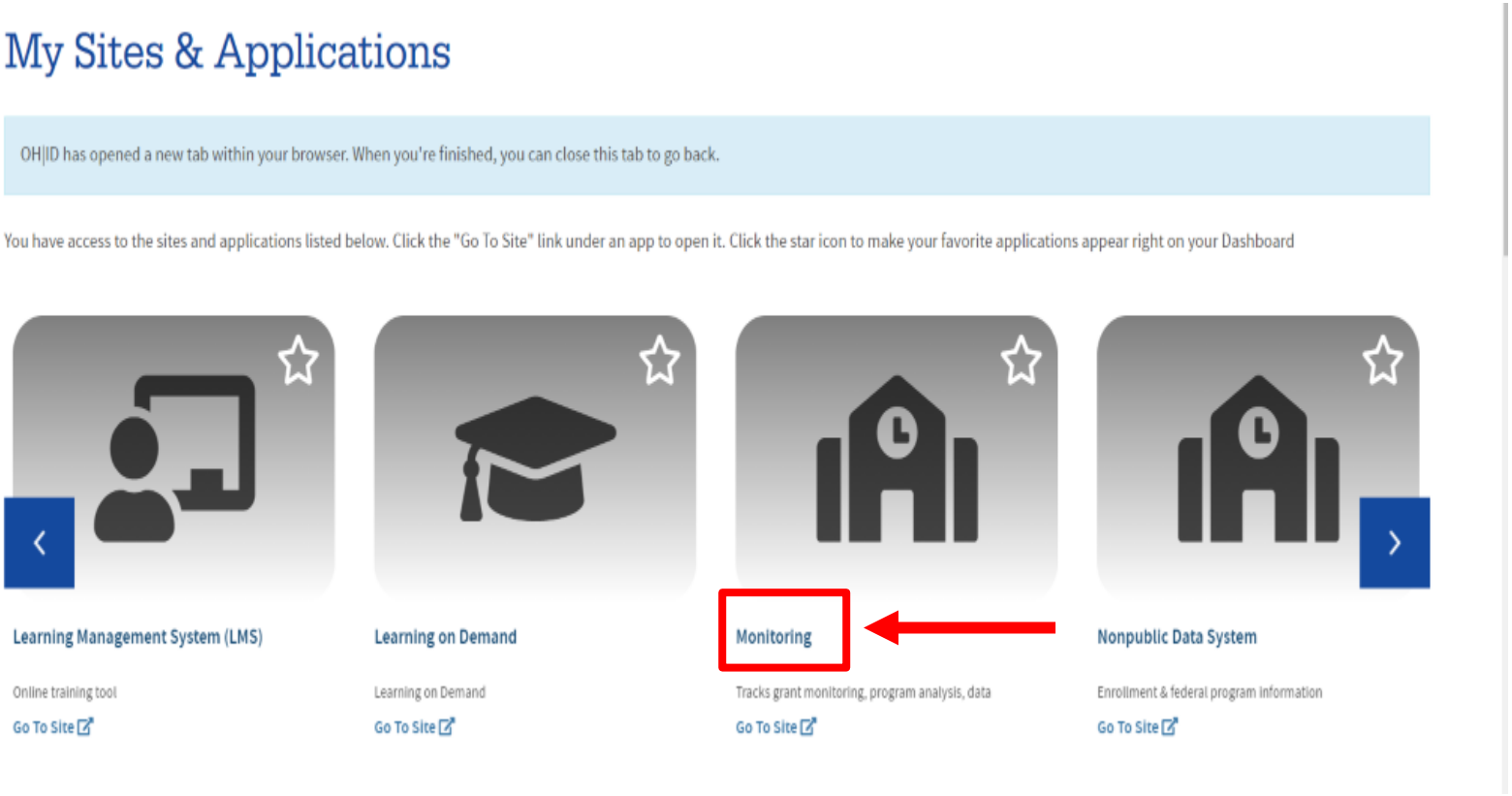
Create an OH|ID account to match your existing Department of Education profile.

Don’t Have an OH|ID Account?



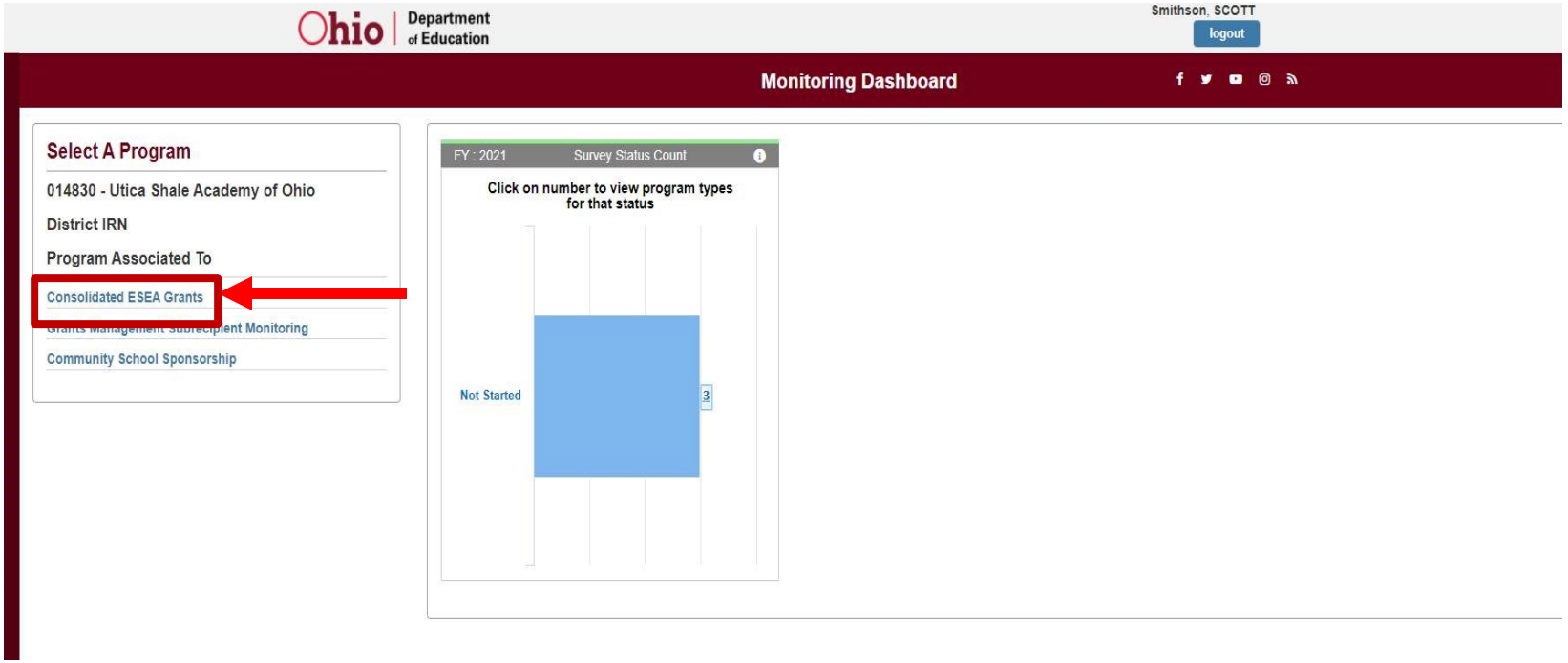
Click on “**Create New Account**”

Select Monitoring Program



Navigating the Monitoring and Tracking System

Compliance Dashboard

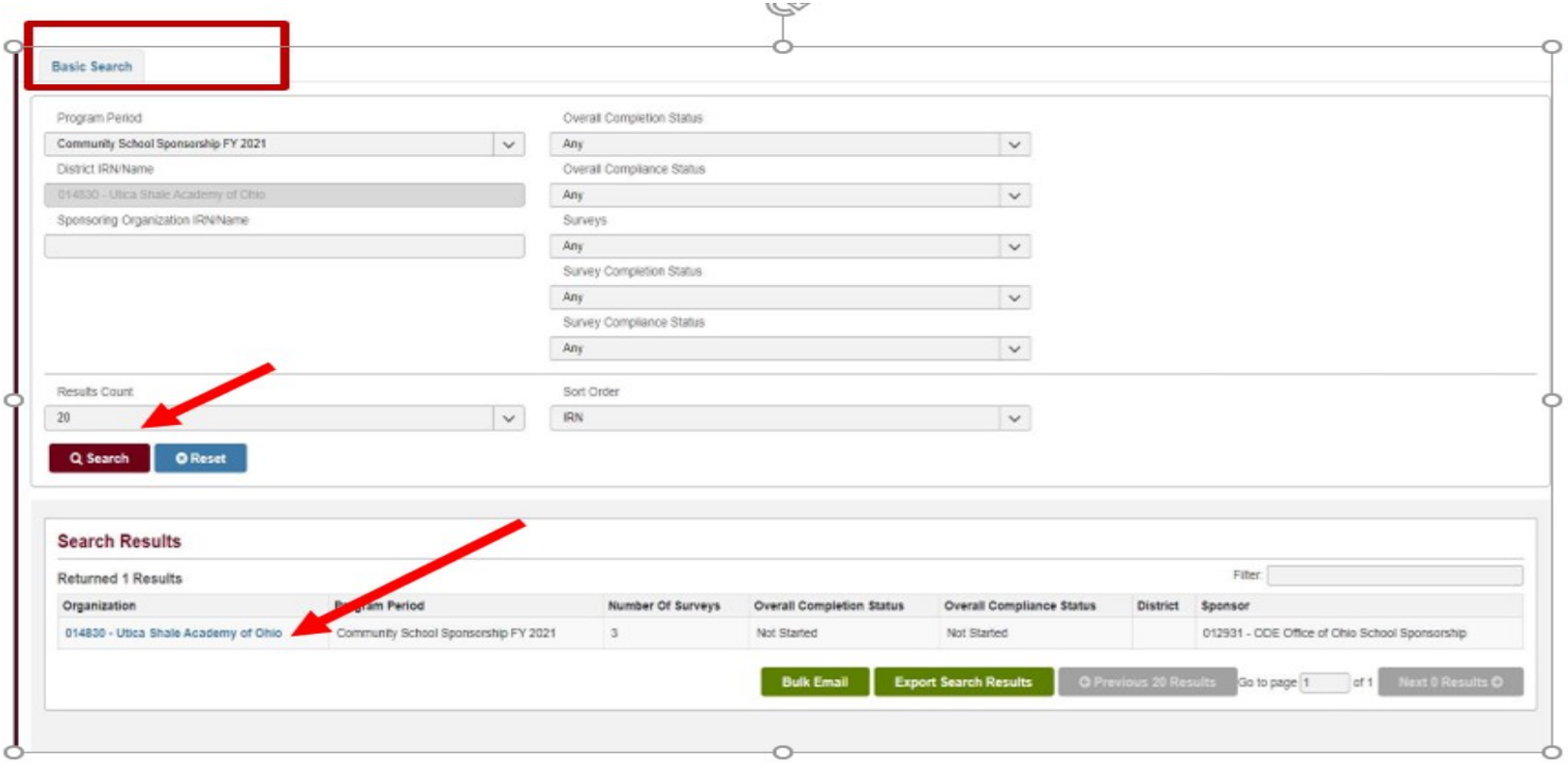


Select Consolidated ESEA Grants from list of Available Programs under Select a Program.

This will take you to the Basic Search Page. The Basic Search Tab will automatically prepopulate the district in the Search Results section.

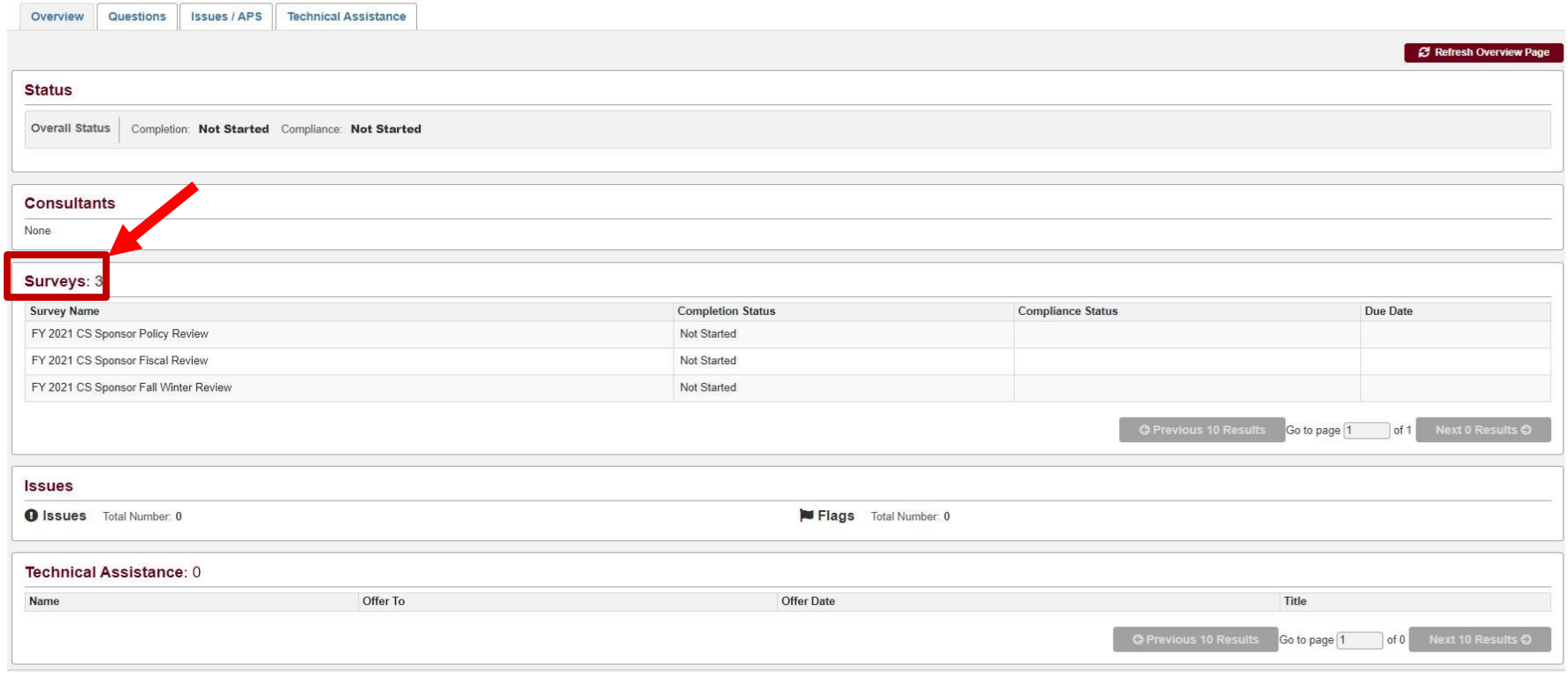
Basic Search Page

The Basic Search Tab will prepopulate your district in the Search Results below.



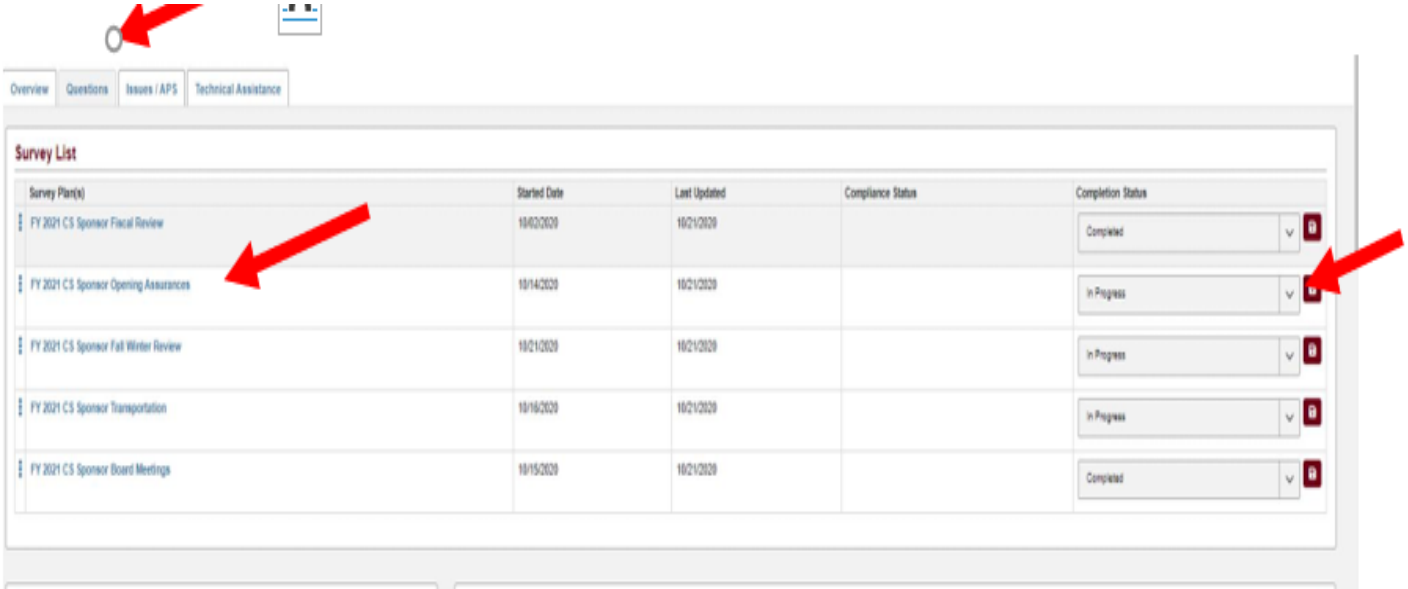
Overview Tab

This page provides information on the overall status of Consolidated ESEA programs.



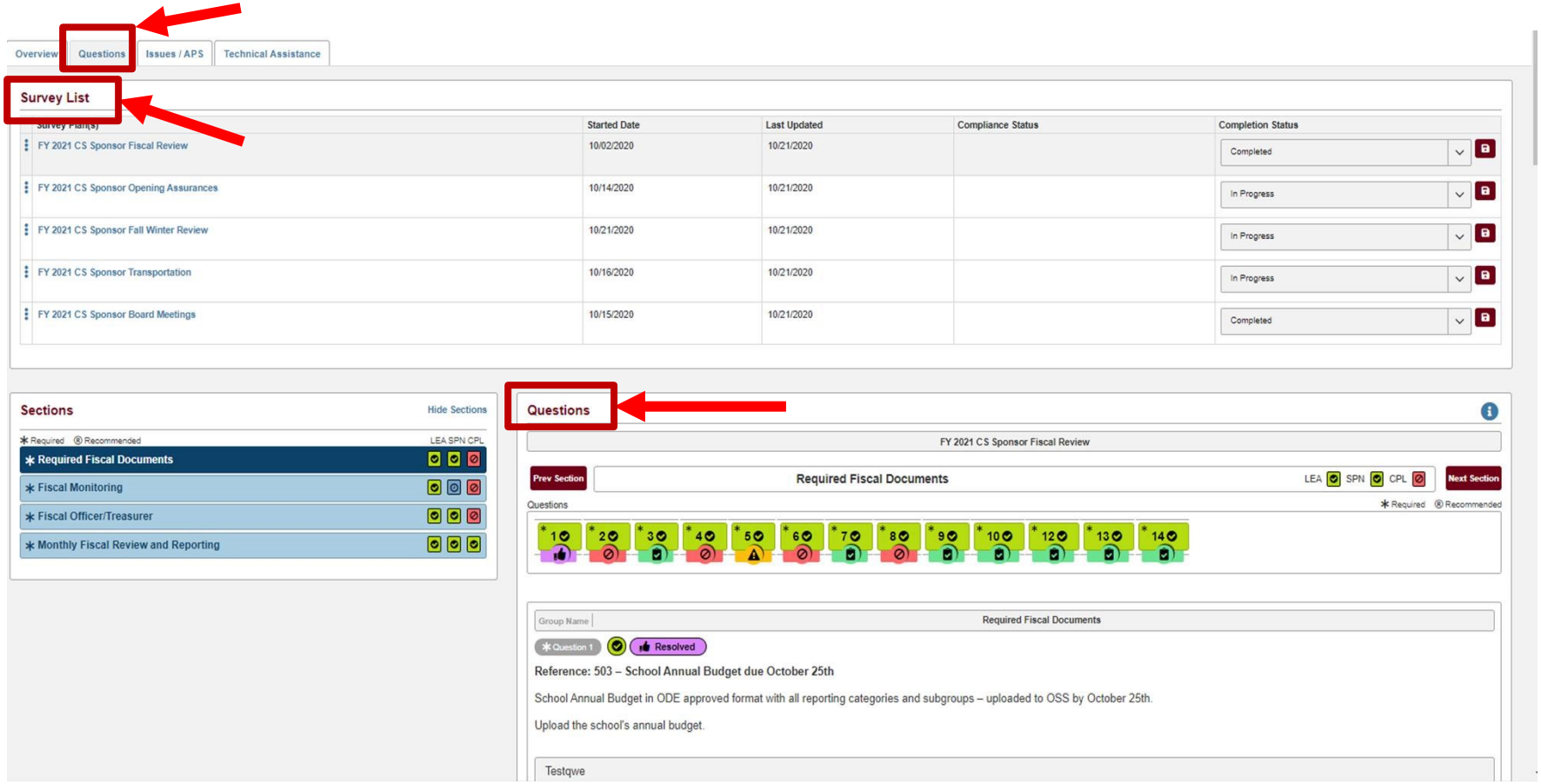
Opening Survey

Click on the Questions Tab then highlight the survey you want to open. In the dropdown box start survey.



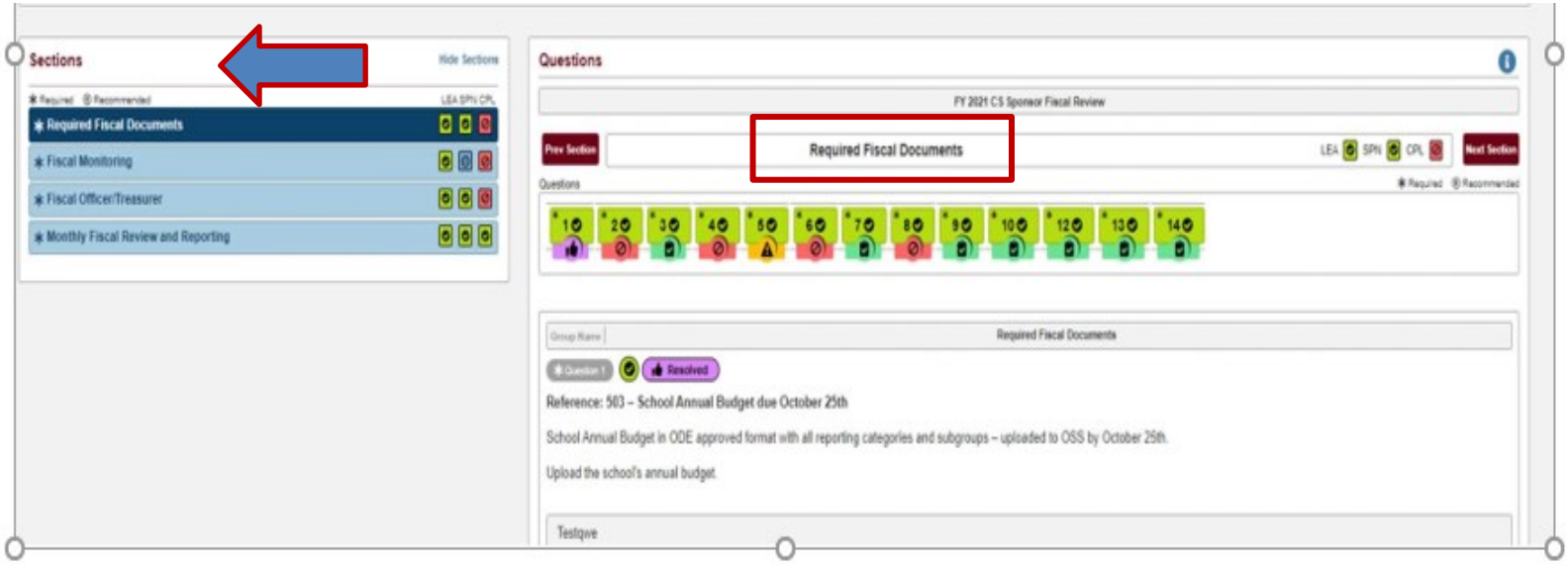
To Work on the Survey

Questions will populate below the selection.



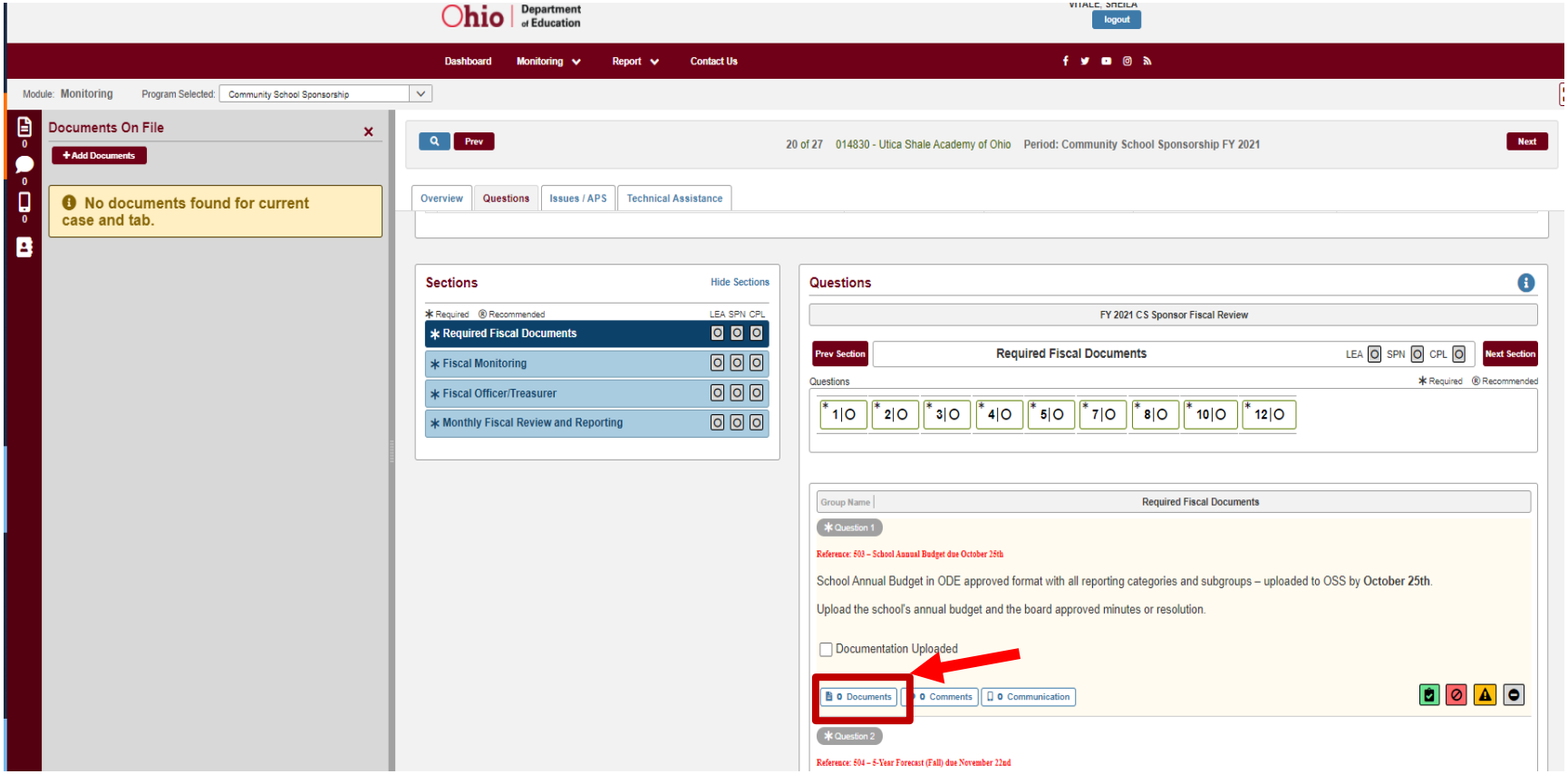
Survey Questions

Survey Questions are organized in Sections and Question Groupings.
Sections are on the left-hand side.
Question Grouping Names display above the question groups.



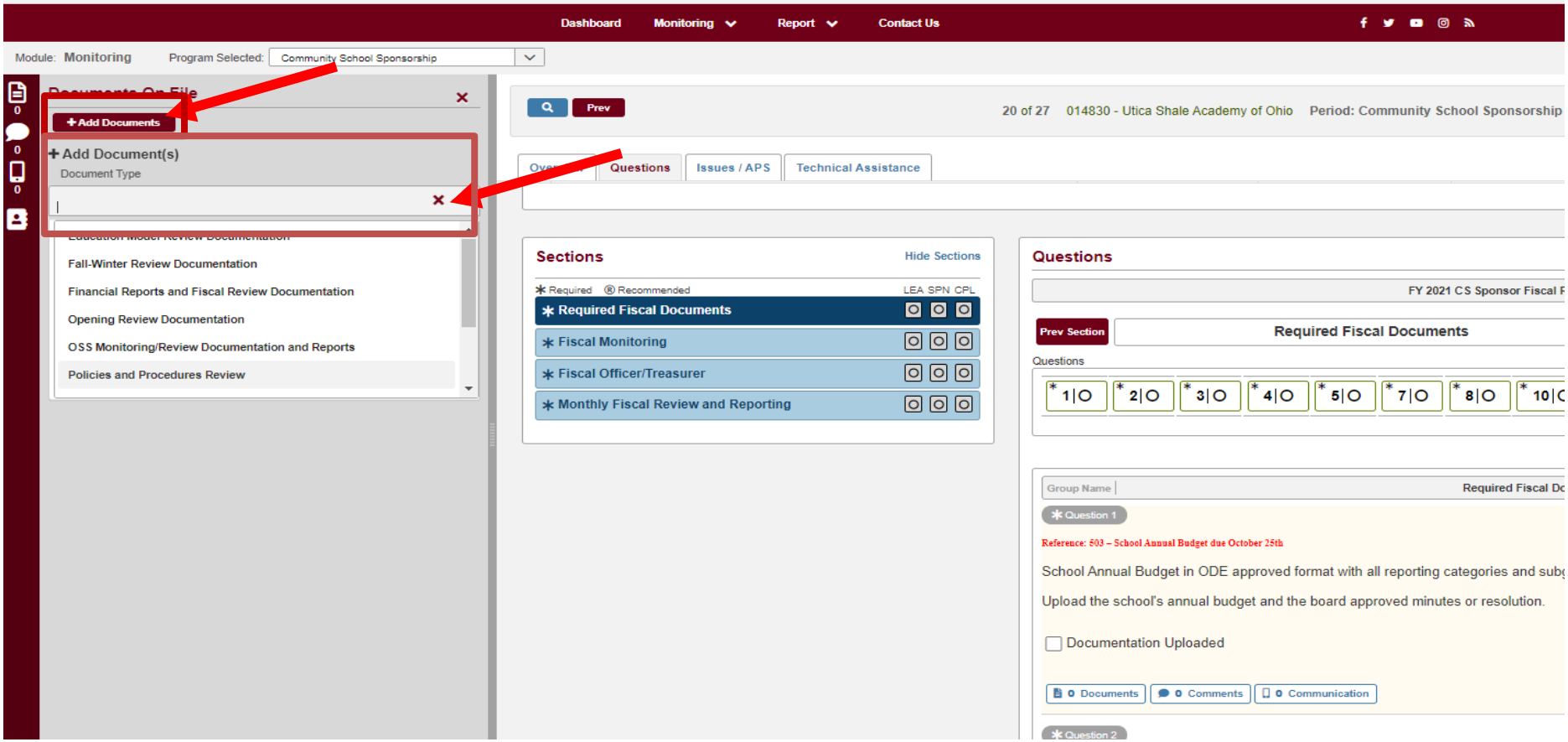
Uploading Documents -1

There are two ways to upload a document: 1.) by clicking on the documents link at the bottom of the survey.



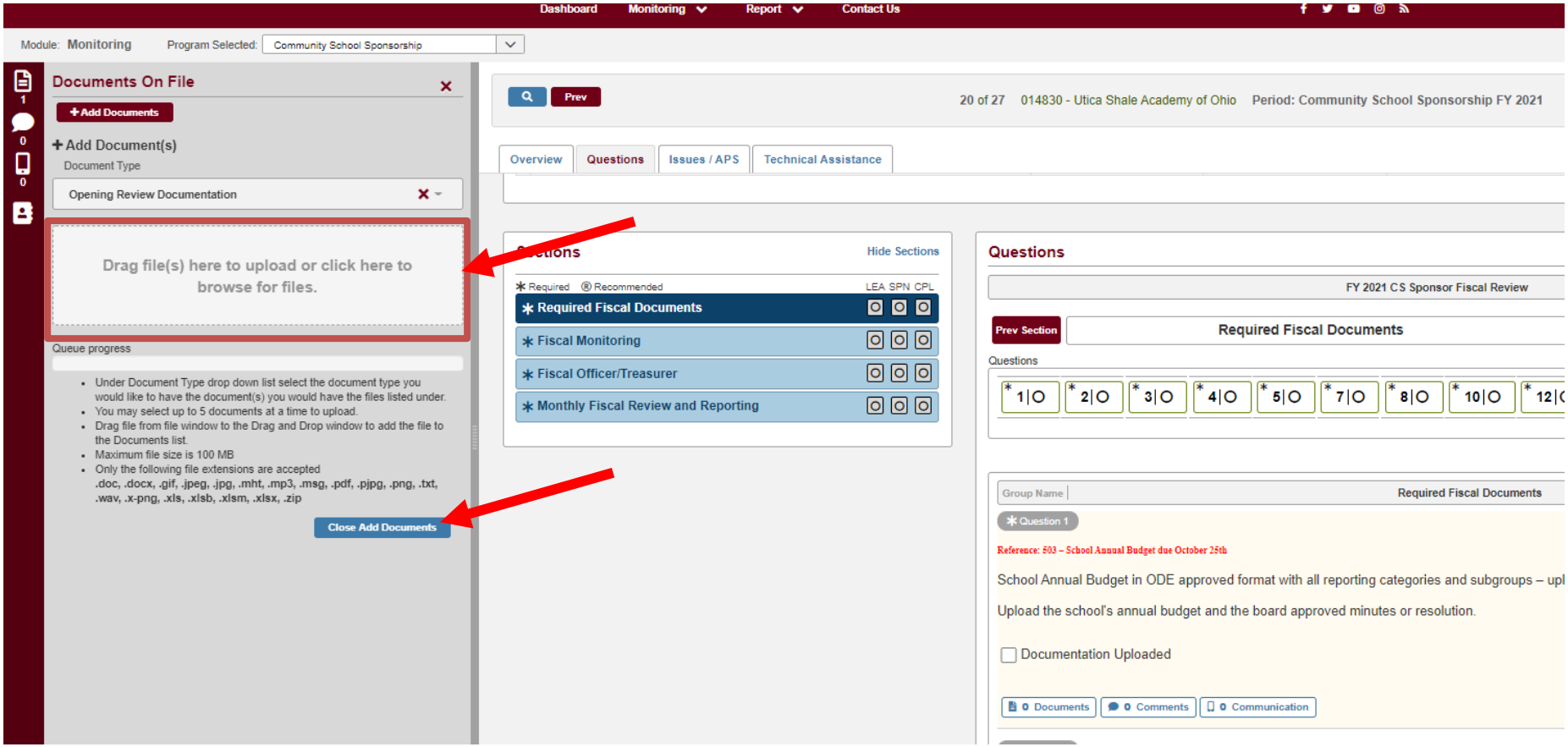
Uploading Documents -2

2.) by selecting the document icon on the left-hand side of the screen. This will open a flag area on the left side of the screen.



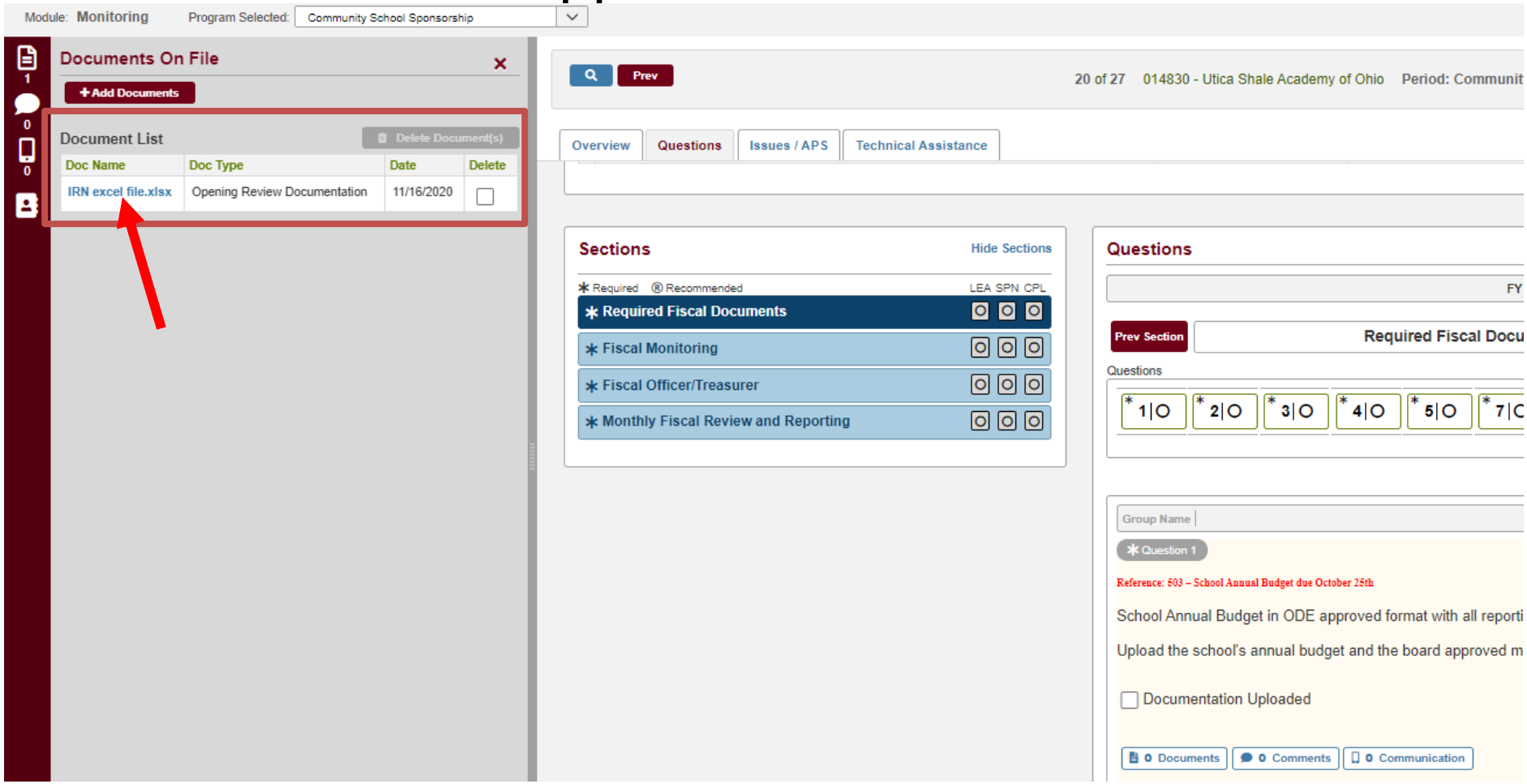
Dragging Documents

The district can select a document from their files by clicking on the browse icon. Select close to add the document.



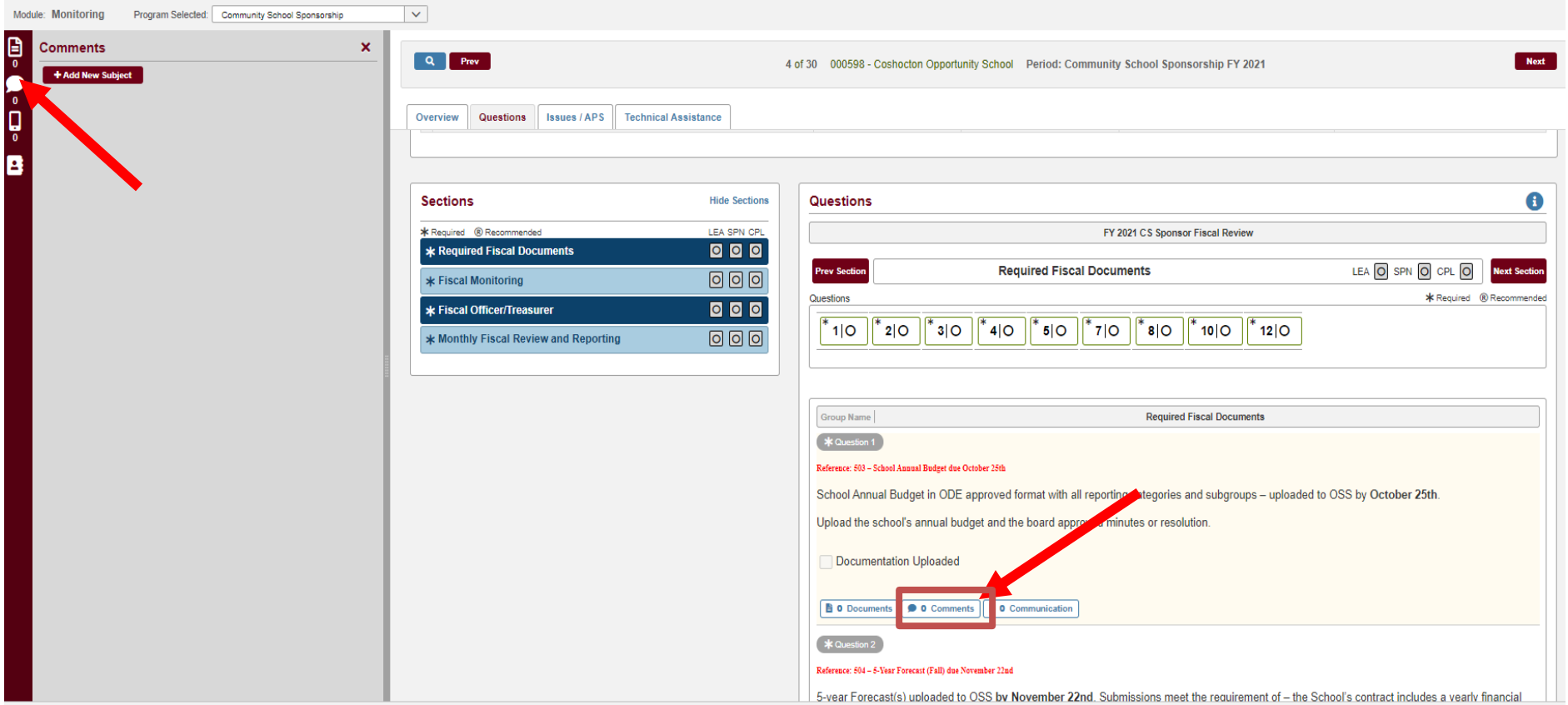
Documents Will Appear

The document will appear in a list on the screen.



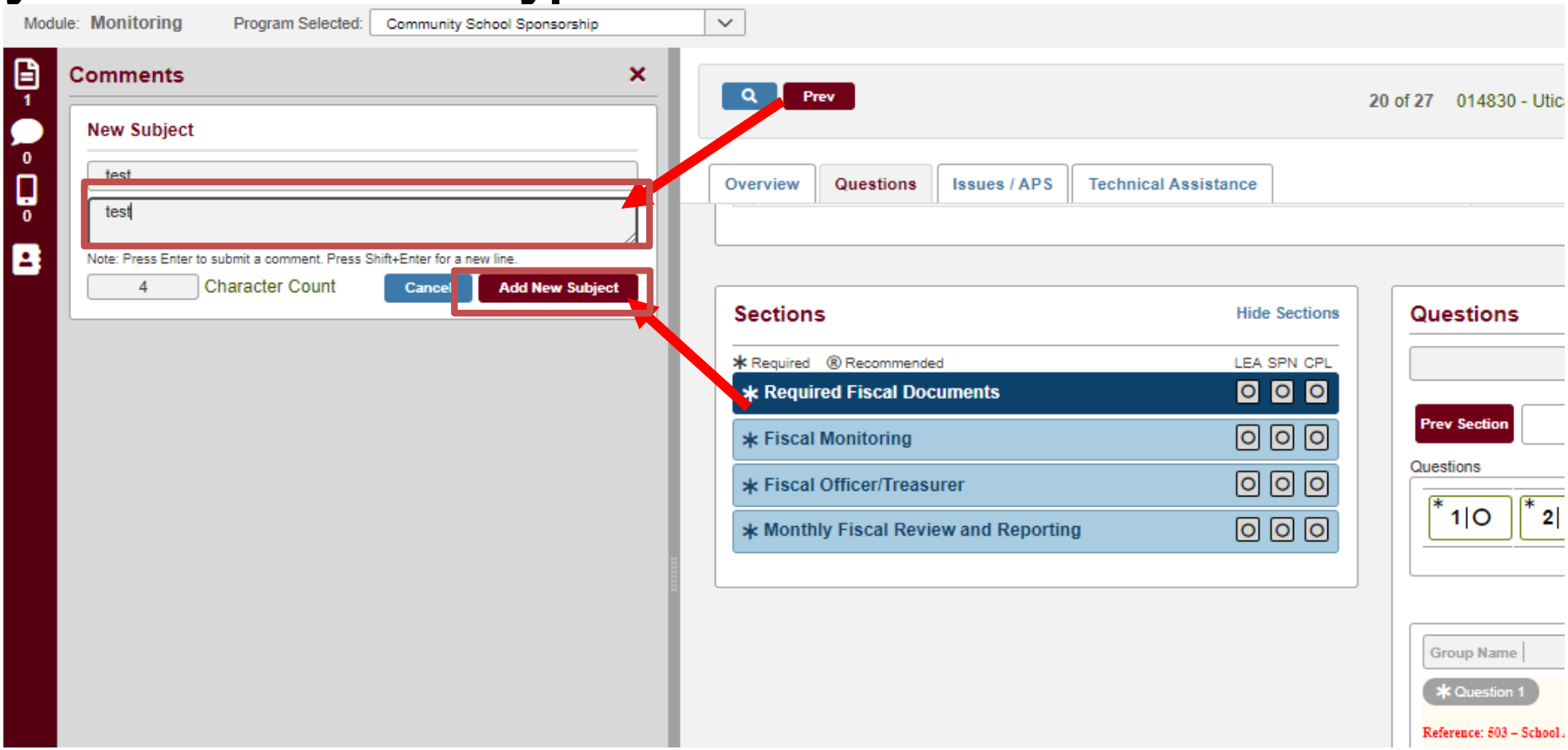
Adding Comments - 1

Select the icon to add a comment under the question or on the left-hand side in the flag area.



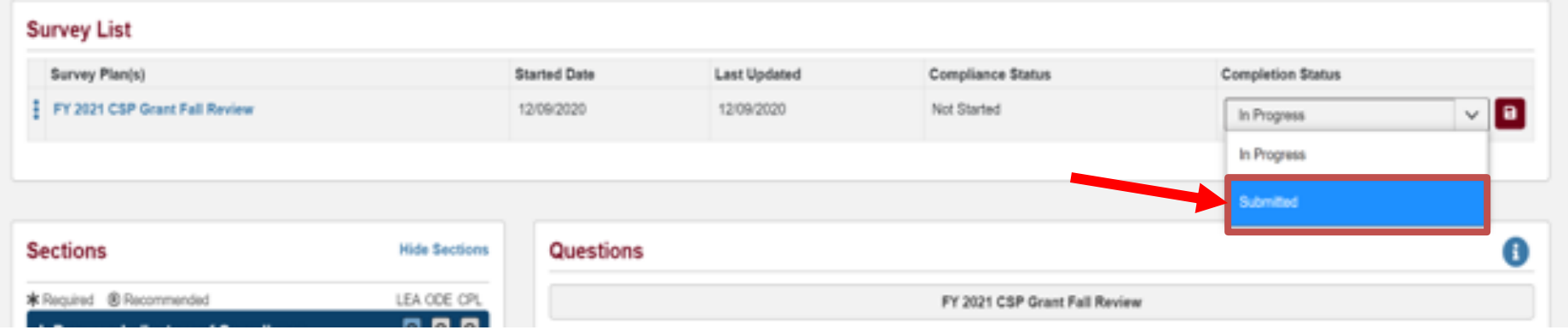
Adding Comments - 2

A window will open to add a comment. Add a subject for your comment and type the comment in the textbox.

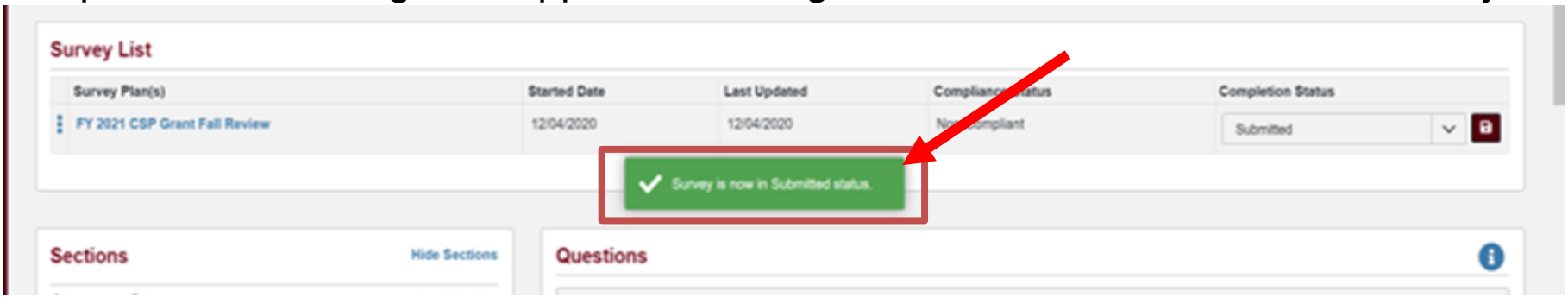


Closing the Survey -1

Closing the survey is a two-step process. Once all the required items are completed in the survey, change the survey status to Submitted.

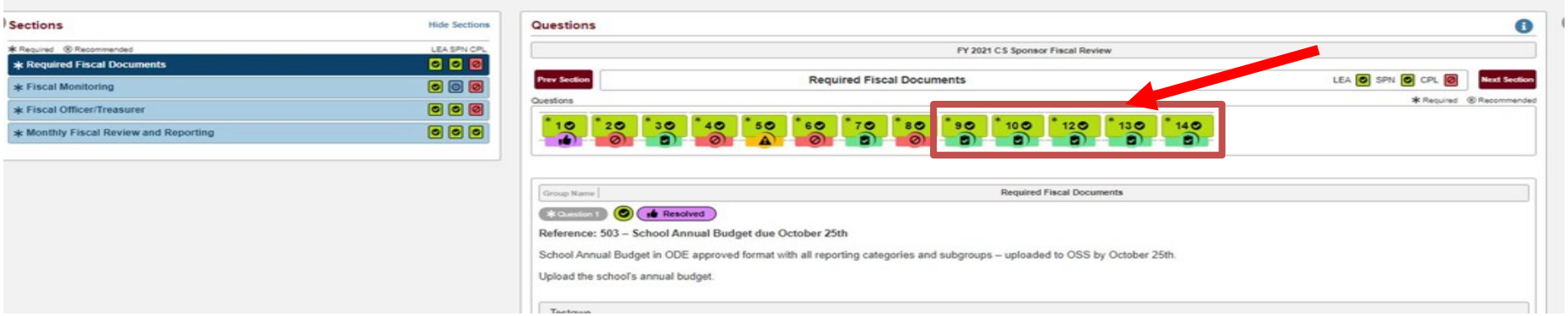


When all required items are checked with documents uploaded or completed, the items on the left-hand side panel will appear green then the district may select Survey Completed. A message will appear indicating the district has submitted the survey.

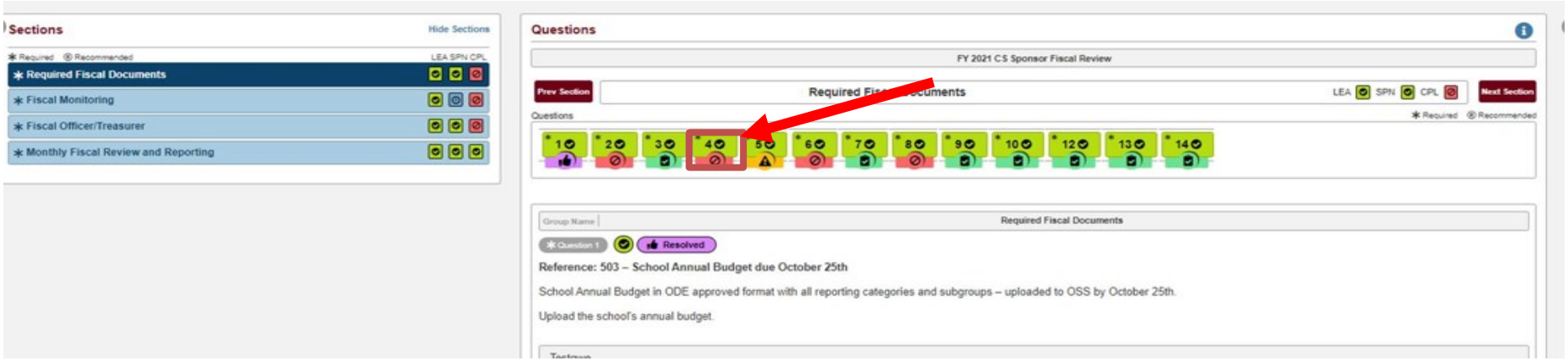


Closing the Survey - 2

When an Education Program Specialist reviews and determines all items meet the criteria, the items will show as green, the specialist will change the survey to “meets” requirements.



If the district needs technical assistant on an item, or if there is an issue with the evidence provided for an item, the item will show as red under the question.



Closing Identified Issues

- The program specialist will describe, in the system, all issues and provide recommendations for correcting issues.
- The district has 30 days to provide a corrective action plan on the tab in the system.
- If a district immediately corrects the item and provides evidence a corrective action plan is not required.
- The Superintendent must approve the corrective action plan for it to be approve.
- The program specialist will review the corrective action plan and determine if it meets the necessary requirements or if it needs more information or steps to completely address the issue.
- After the corrective action plan is approved and the district and program specialist agree upon a timeline for implementing the plan and providing evidence of completion of the plan and uploading evidence in the system the action plan has been completed, the program specialist will review the evidence.
- When all evidence is reviewed and determined to meet compliance, the program specialist will notify their Assistant Director that the district has implemented their “corrective action plan” sufficiently.
- Then the Assistant Director will change the issue to resolved and this will close the issue.
- When all issues have been closed, the Compliance Process is completed.

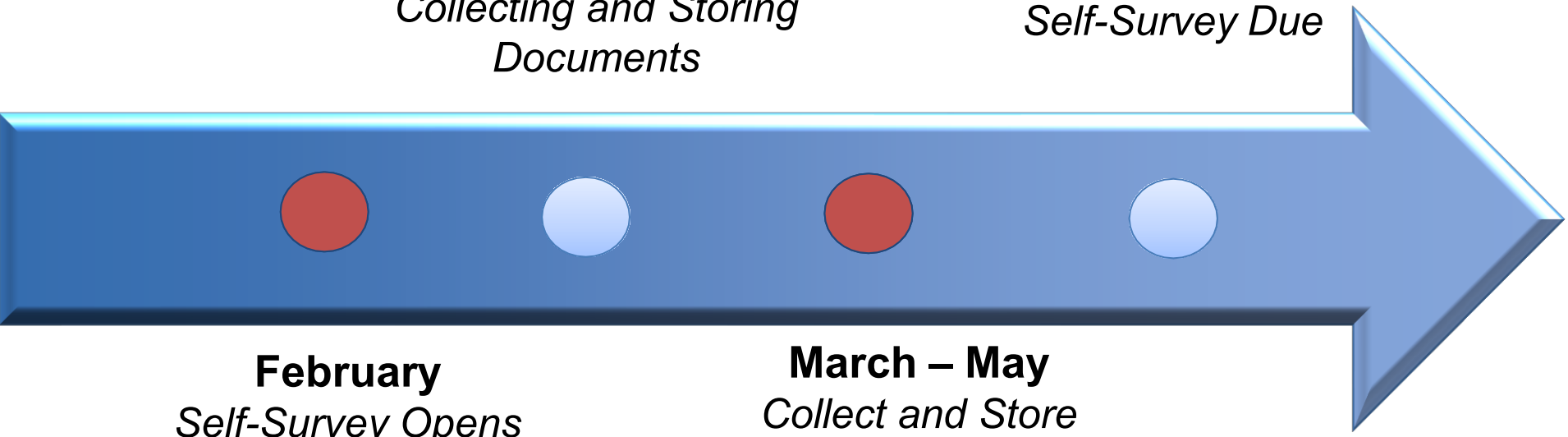
Compliance Timeline

Self-Survey Timeline

District Completes and Checks Items

February - March
Determine System for Collecting and Storing Documents

June 30, 2021:
Self-Survey Due



February
Self-Survey Opens

March – May
Collect and Store Documents, Check Off Items in System

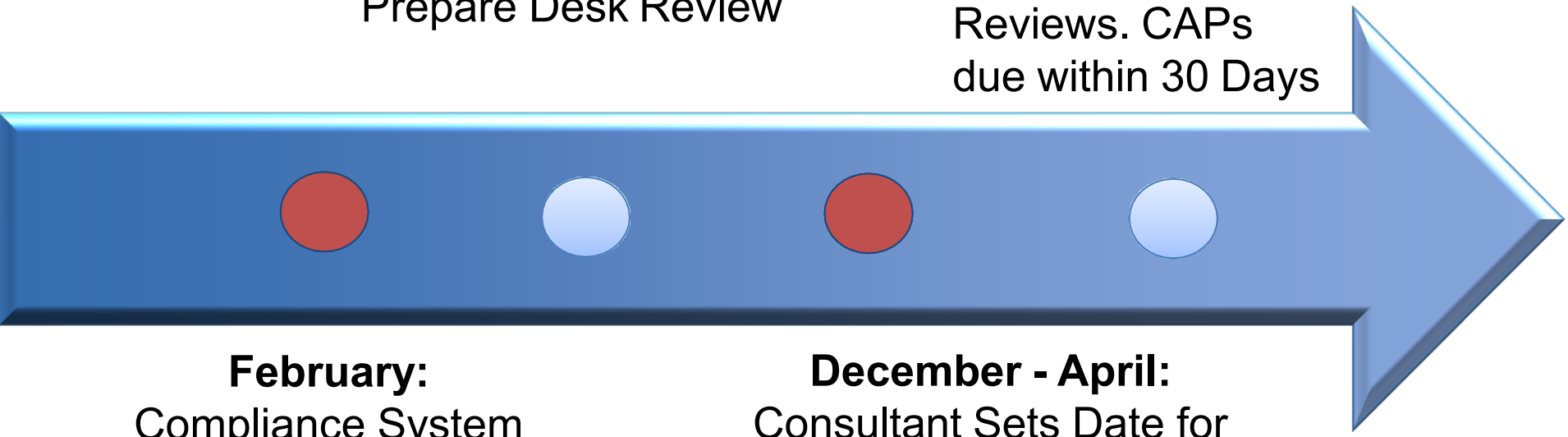
* Download PDF of Compliance Questions and Evidence from Compliance System

Desk Review Timeline

Consultant Directed

December - January
Work with Consultant to Prepare Desk Review

June 30, 2021
Consultant Completes Desk Reviews. CAPs due within 30 Days



February:
Compliance System Opens. District Notified

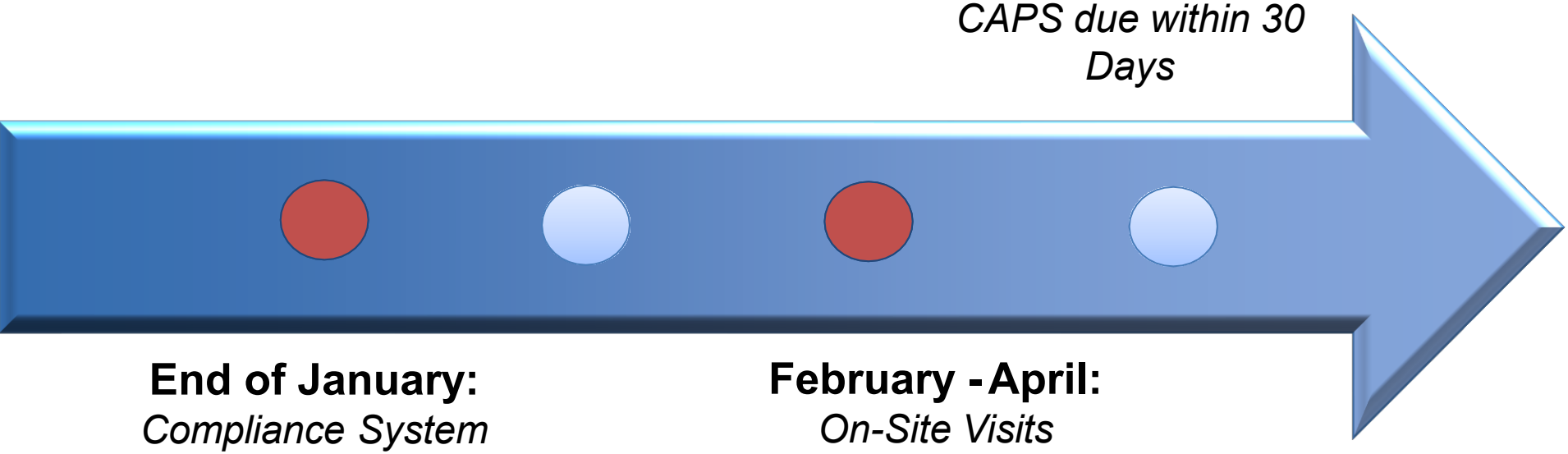
December - April:
Consultant Sets Date for Desk Review and Checks Items

On-Site Timeline

Consultant Directed

February: *On-Site Dates Set with Districts*

March - June
Consultants Review Monitoring Outcome – CAPS due within 30 Days



End of January:
Compliance System Opens, Districts Notified of Cross-Office Monitoring

February - April:
On-Site Visits Conducted

Modified Desk Reviews

What are Modified Desk Reviews?

Modified Desk Reviews:

- Districts that had an issue in previous year's monitoring.
- Only for Desk Review or On-Sites
- To demonstrate that the correction has been carried over into district practice the following year.
- Often Districts cannot provide evidence until the following year.
- District must complete Self-Survey

Preparing for an On-Site

Purpose of On-Site

- Opportunities for Support
- Identify areas for Growth
- Clarifies requirements of programs
- Provide consistency

Preparing for an On-Site

- Determine Who Needs to be Involved in the On-Site
- Distribute Questions and Required Evidence List
- Create a timeline for preparation

Preparing for an On-Site

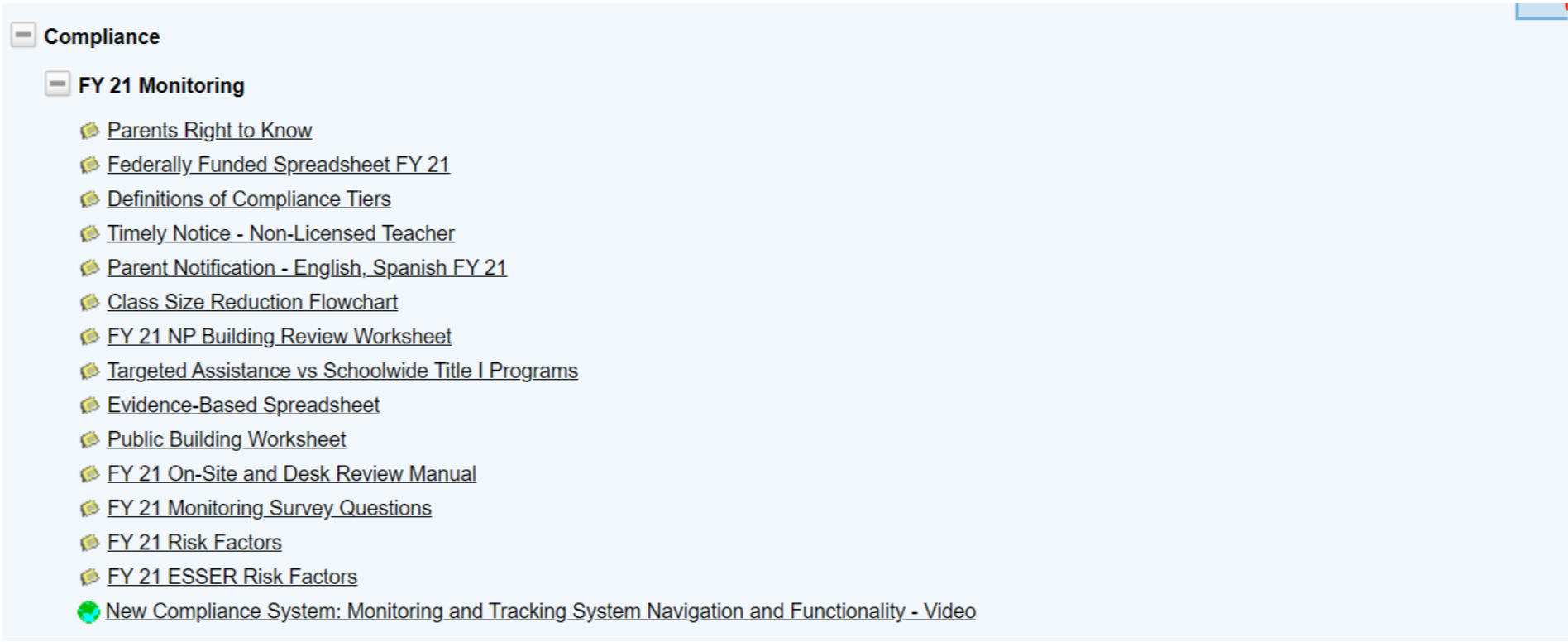
- Provide Documents prior to visit
  - –Federally Funded Spreadsheet
  - –Evidence-Based Strategies
  - –Payroll Records – ACCRT Fiscal Document
  - –Fiscal Ledger – Detailed Budled Fiscal Document
  - –Building Budgets – Detailed Budsum Fiscal Document

Preparing for an On-Site

- Prepare Staff Involved with On-Site
  - –Building Principals – Building Worksheet
  - –Non-Publics – NonPublic Worksheet
  - –Federal Staff
    - Homeless Liaison
    - Parent Liaison

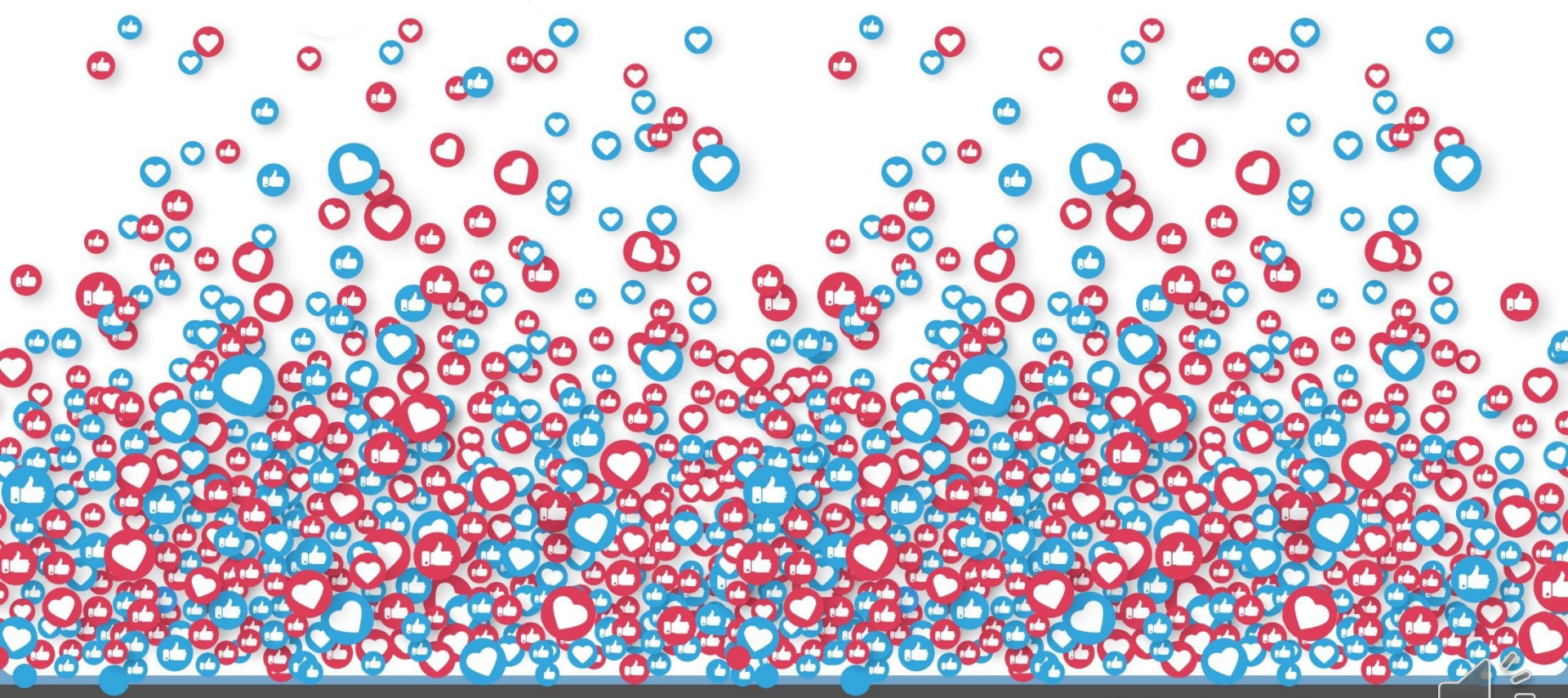
Resources

[Document Library (state.oh.us)]




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