Open Office Hours

Closing a Desk or On-Site Review:



April 14, 2022

Compliance Background

Federal Programs uses a three-tier monitoring system

1. Self-Survey
2. Desk Review
3. Onsite Review

What are Follow-Up Desk Reviews?

Follow-Up 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 can not provide evidence until the following year.

Progressive Enforcement

- Second Year of Same Issue begins progressive enforcement progress.

- Work with agency to develop processes needed to address “why issue continues”

- Progressive Enforcement Steps Included

- District submits evidence when system opens.

- One month to respond with evidence.

Risk Factors



Comprehensive

Balanced Typolology

Annually Completed

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

Consolidated ESEA Compliance Risk Factors

Office of Federal Programs
Compliance Risk Factors and Scores (FY22)

1. New federal program coordinator at the district level, or the listed Federal Programs Coordinator is also listed as the Superintendent or Treasurer.

10	Less than 1 year or contact information not provided on CCIP Consolidated Application - Contacts page
5	1 to 3 years, or Federal Programs Coordinator is also listed as Superintendent or Treasurer.
0	4 to 5 years
-5	6+ years

2. Noncompliance in ESEA programs for the preceding year. (Applied only to the previously monitored districts):

15	Above 9
10	3-9
5	1-3
-5	No findings

FY22 Compliance Risk Factors

FY 22 Consolidated ESEA Breakdown

- 29 On-Sites
- 64 Desk Reviews
- 20 Modified Desk Reviews
- 816 Self-Surveys

FY 22 Impact Aid Breakdown

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

Timelines



Available in December

Season Runs Jan. - April

Completed by June

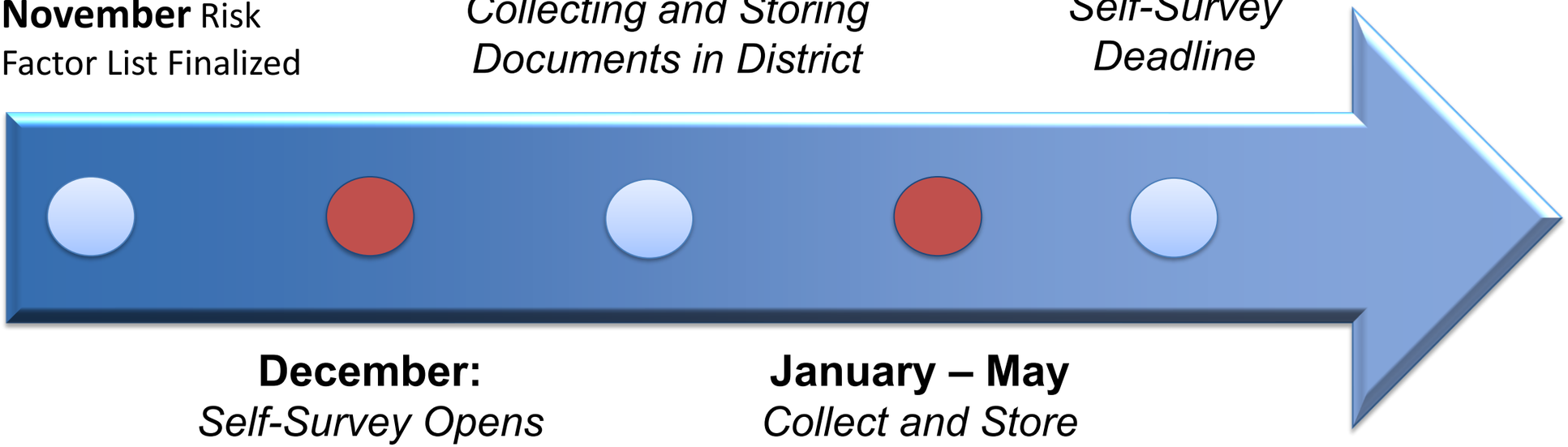
Self-Survey Timeline

District Completes and Checks Items

October – November Risk Factor List Finalized

December - January
Determine System for Collecting and Storing Documents in District

June 30th:
Self-Survey Deadline



December:
Self-Survey Opens

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

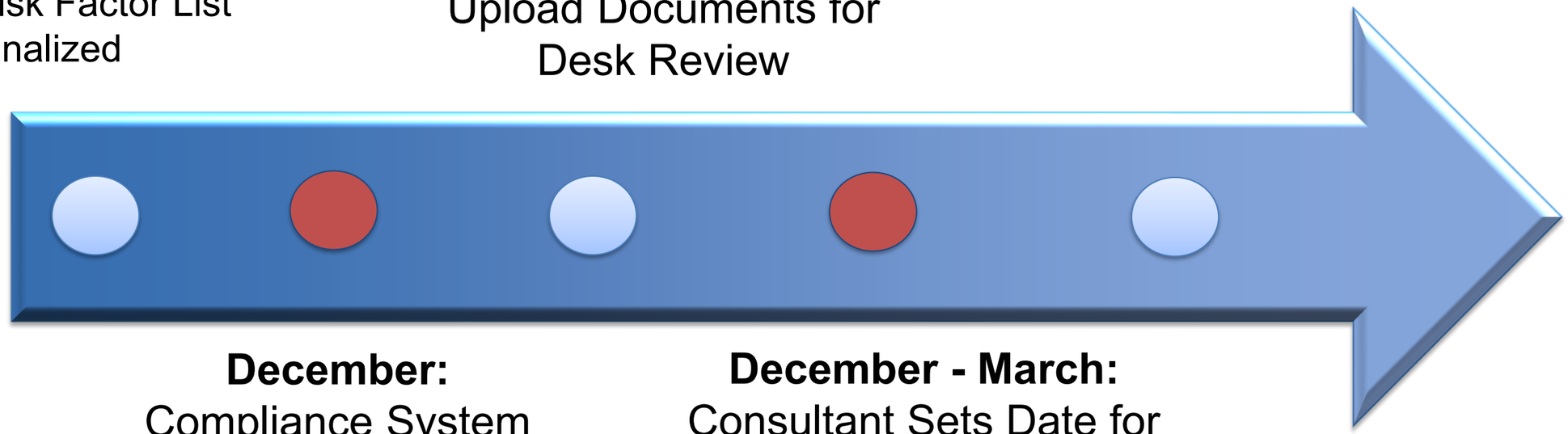
Desk Review Timeline

Consultant Directed

October – November
Risk Factor List Finalized

December - January
Work with Consultant to Upload Documents for Desk Review

May 30th
Desk Reviews Completed



December:
Compliance System Opens. District Notified

December - March:
Consultant Sets Date for Desk Review and Checks Items
CAPS due within 30 days

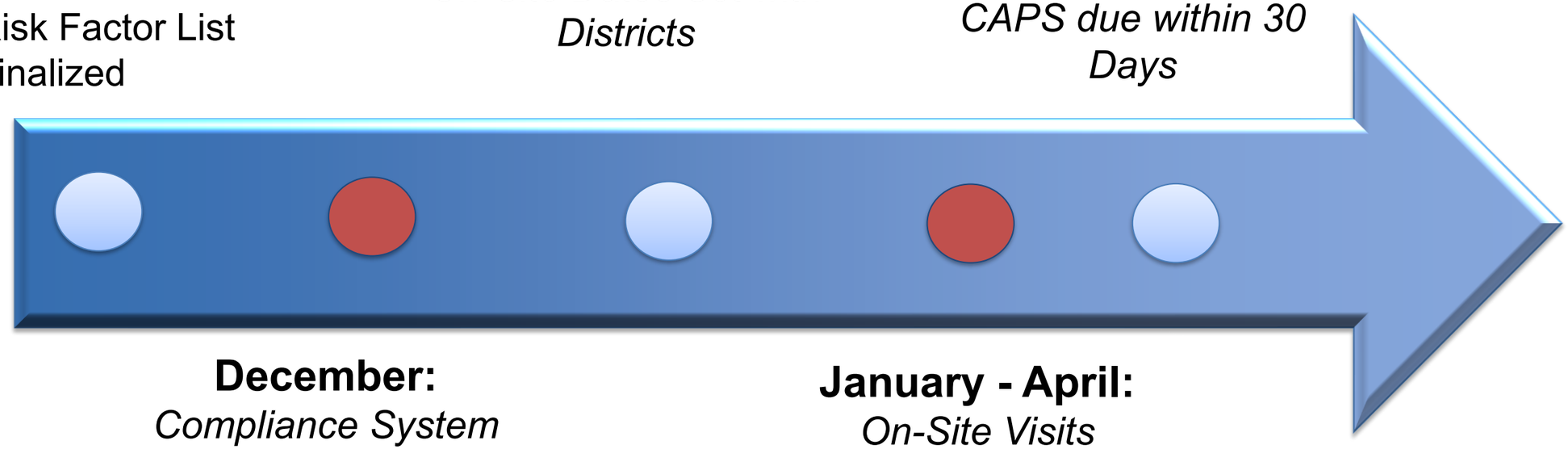
On-Site Timeline

Consultant Directed

October – November
Risk Factor List Finalized

December- January:
On-Site Dates Set with Districts

January - May
Consultants Review Monitoring Outcome – CAPS due within 30 Days



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

January - April:
On-Site Visits Conducted

Proposed Follow-Up Desk Review Timeline

December - January
Work with Consultant to Review Item on Follow-Up Desk Review

March 30th
Consultant Completes Follow-Up Desk Reviews



End of November:
Compliance System Opens. District Notified

December - April:
Provide Evidence for Follow-Up Desk Review by end of February

Preparing for Desk and On-Site



System Approach

Team Effort

Timeliness

Records Retentions

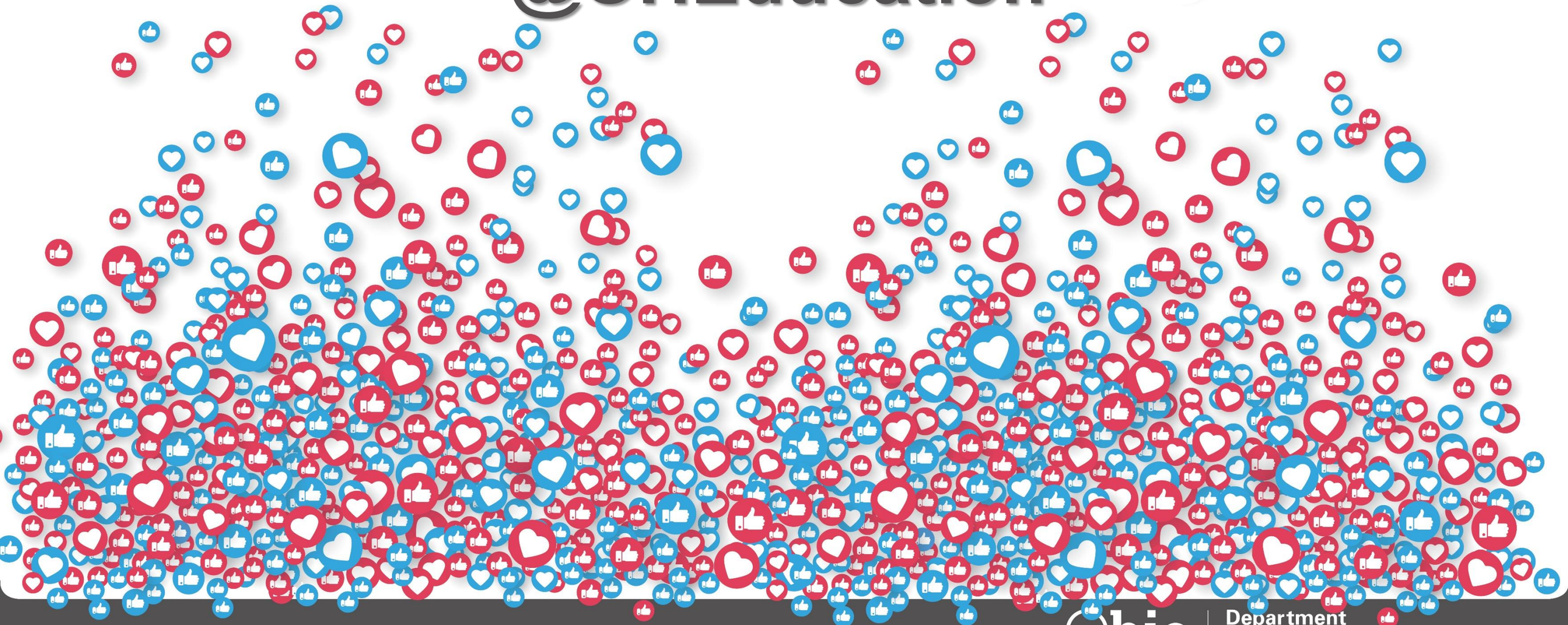
- Maintain records for minimum of 7 years

- Applies to self-survey, desk, and on-site reviews.

Technical Assistance vs Issue

Description	Technical Assistance	Issue
Determination	Minor concern. District usually has evidence, but missing an item in evidence	Concern that requires an action. No evidence, not an allowable activity, missing major elements in evidence
Support	Consultation is provided	Consultation is Provided
District Action	Discuss changes that need to be made with consultant and how best to achieve. Documented in system with technical assistance note.	Consultant makes recommendations in system. District must provide a corrective action plan in the system within 30 days.
New Evidence Required	No further actions needed	Must upload evidence demonstrating compliance end date
Next Year's Survey Consequence	No effect on next year's survey list	Automatically has a follow-up desk review on item identified.

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