FY27 ESEA Monitoring Manual



Office of Federal Programs





Ohio Department of Education & Workforce

Table of Contents

TABLE OF CONTENTS **1**

ESEA MONITORING OVERVIEW **2**

Purpose of Monitoring *2*

Consolidated ESEA Multi-Tier Approach to Monitoring *2*

ESEA ON-Site Review 2

ESEA Desk Review 3

ESEA Follow-Up Desk REview 3

ESEA Self-Survey 3

ACCESSING THE MONITORING SYSTEM **4**

ON-SITE AND DESK REVIEWS **5**

Completing the Consolidated ESEA Monitoring Surveys *5*

Uploading Documents 8

Adding Comments 12

Closing the Consolidated ESEA Monitoring Survey *13*

Step 1: Closing the Survey with *Submitted* and *Survey Completed* 13

Step 2: Closing the Survey with Specialist Review 14

Step 3: Closing Identified Issues 14

SELF-SURVEY **17**

Completing Consolidated ESEA Self-Survey *17*

Closing the Consolidated ESEA Self-Survey *18*

APPENDIX A: TIMELINE AND FLOWCHARTS FOR COMPLETION OF REVIEWS **20**

Timeline *20*

Desk Review Flowchart *20*

On-Site Flowchart *21*

Self-Survey Flowchart *21*

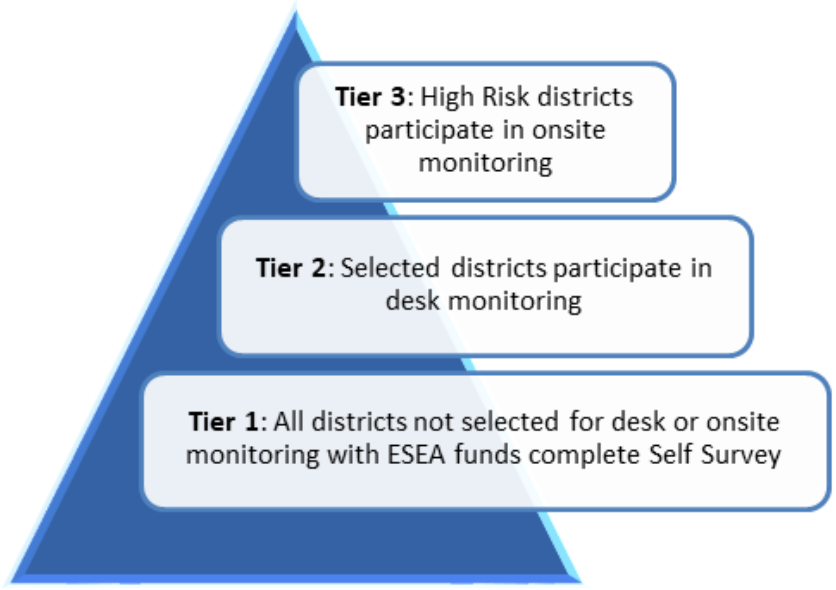
ESEA Monitoring Overview

Purpose of Monitoring

The purpose of monitoring in the Office of Federal Programs (OFP) is to support school districts with the implementation of federal programs as they navigate the requirements of the Elementary and Secondary Education Act (ESEA). The intent is not to look for issues but to learn what districts are doing with their federal funds, assure that they are meeting the requirements within each fund, and if this is not the case, assist the district with implementing changes so that they meet requirements and strengthen their programs. This monitoring process helps protect districts and the State of Ohio during state or federal audits. To maximize this support, a multi-tier approach is used for federal programs monitoring.

Consolidated ESEA Multi-Tier Approach to Monitoring

The Ohio Department of Education and Workforce's (DEW) Office of Federal Programs monitors compliance with ESEA programs through a tiered approach. The tiers include Consolidated ESEA grants self-survey, desk review, and on-site review. Follow-up desk reviews are conducted to resolve any issues from the year prior. Risk factors are used to determine which tier a district is assigned.



ESEA ONSITE REVIEW

An onsite review occurs for those who have been identified as most at-risk during the risk analysis process. The team conducts a review of programming and documentation to verify compliance with requirements outlined in the on-site survey. Like the desk review, the district uploads documentation into the monitoring system and provides explanations when prompted. A team, typically led by the district's federal programs specialist, visits the district's central office, Title I served schools, and non-public schools served by the district. Neglected

and delinquent institutions within the district's boundaries may also be visited. After the on-site review, the specialist and the team will meet and review all the documents and notes from the visit to complete the survey. The specialist may provide Technical Assistance to the district for area(s) improvement. If there are noncompliance issues(s), the school or district must submit a Corrective Action Plan (CAP) in writing to DEW for review, resolution, and acceptance within 30 days of when the noncompliance issues are submitted to the school or district.

ESEA DESK REVIEW

The Office of Federal Programs selects approximately 10 percent of the districts in the current school year for additional monitoring through a desk review. The desk review is a shortened version of the on-site review. It is conducted through a virtual meeting and focuses on the districts' processes and procedures for implementing federal program requirements. The district uploads documentation and provides descriptions for their processes and procedures in the monitoring system. Due dates for desk reviews are established by the specialist. Districts must have responses and documents available by the date of the review. Upon satisfactory completion of the desk review, the specialist completes the survey in the monitoring system indicating if the district has met compliance. The district will be notified of the results and any items that are identified as non-compliant as well as timelines for corrective action plans and completion of the survey.

ESEA FOLLOW-UP DESK REVIEW

A follow-up desk review occurs when a district received a non-compliance item during a desk or on-site review in the prior year. The district must verify the corrective action plan from the prior review has been implemented and that procedures are in place to sustain the necessary changes to meet compliance. Districts that have a follow-up desk review must also complete a self-survey.

ESEA SELF-SURVEY

Tiers are based upon an annual risk factor analysis. Districts not selected for a desk or on-site review must complete the consolidated ESEA grants self-survey. The self-survey is available in the monitoring system in OHID and the deadline for completion is June 30th. The self-survey reviews all federal requirements and evidence needed for consolidated ESEA programs. Districts assigned a self-survey will complete the survey on their own. All required documents and explanations described in the survey are the responsibility of the district to collect and store for any future audits that may occur. During the self-survey, the district does not upload any documents or add any comments to the monitoring system. All evidence is maintained by the district in their files. If you have additional questions, please contact your OFP specialist.

Accessing the Monitoring System

Logging on with the OHID account:

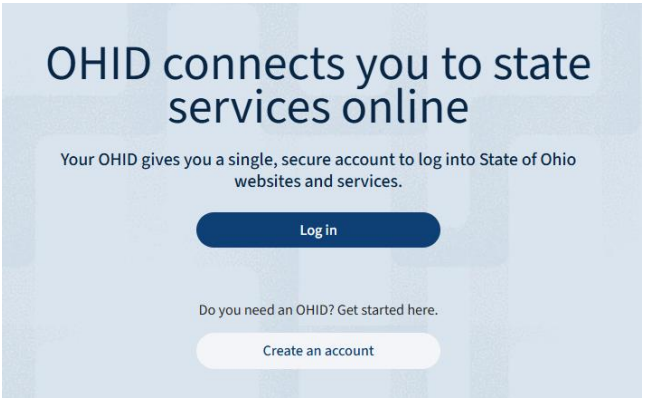
Users access the online Consolidated ESEA Grants monitoring survey through the DEW OHID secure web portal login, formerly known as Secure Application for Enterprise (SAFE). Users can access the OHID portal by clicking the "Login" link at the top of the DEW homepage or going to the OHID portal.

If you need technical support with your account, contact the Ohio Department of Education and Workforce at 877-644-6338 or Profile.Help@education.ohio.gov.

1. Click the "**Login**" link at the top of the Ohio Department of Education and Workforce homepage.



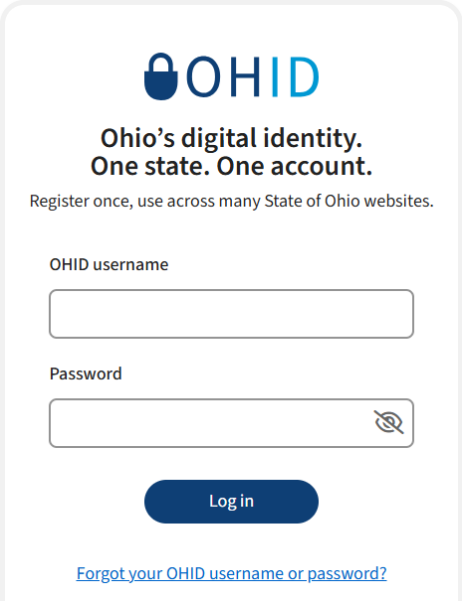
2. Click on the "**Log In**" button. If you don't have an existing OHID account, click on "**Create New Account.**"



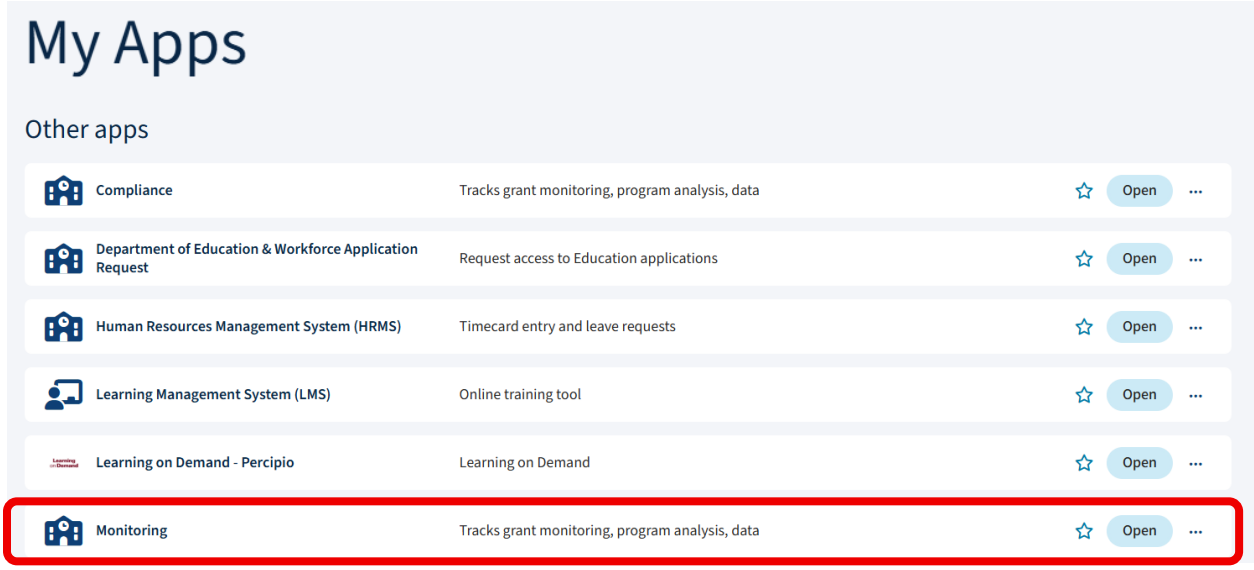
3. Enter your OHID username and password and click the "**Log In**" button.

Note: Attempting to log into OHID with SAFE credentials will not work. An OHID account must be created first and matched to your existing profile.

To access the **Consolidated ESEA grants survey, the user must have one the following roles assigned in the Ohio Educational Directory System (OEDS): CCIP Authorized Representative, CCIP Fiscal Representative, Superintendent, Treasurer, Data Entry Planning-CCIP and Data Entry Funding-CCIP. If you do not see Consolidated ESEA Grants Survey in the list of available programs, the district's OEDS administrator must assign one of these roles.



4. The application list should show on the "My Apps" page. Select the **Monitoring** program tile in the list.



On-Site and Desk Reviews

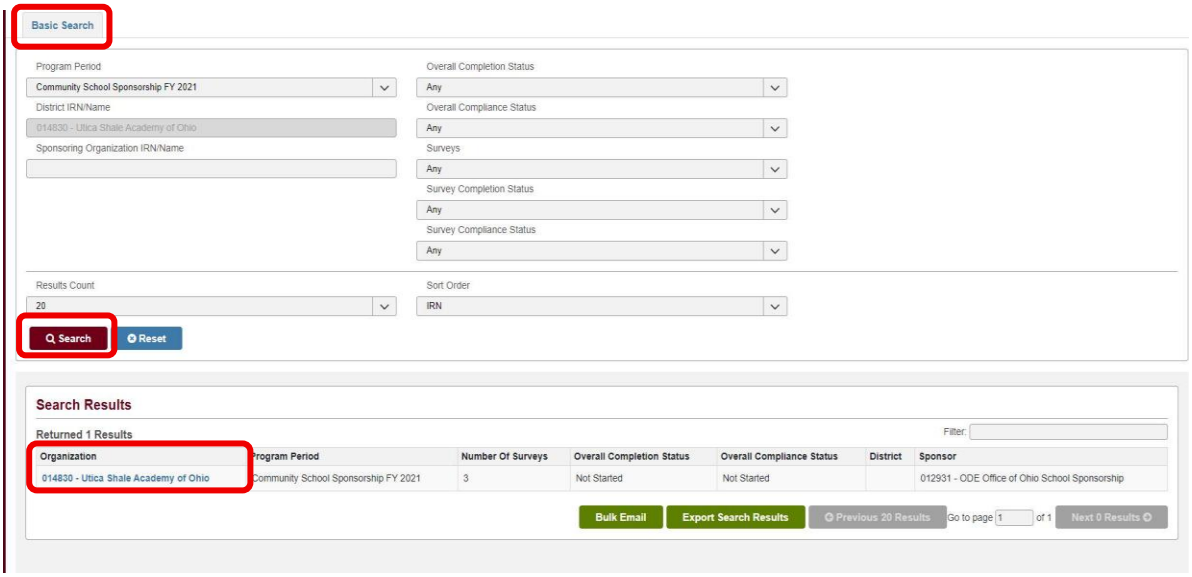
Completing the Consolidated ESEA On-Site and Desk Monitoring Surveys

1. Once in the monitoring system, the monitoring dashboard will appear. The dashboard provides survey information and announcements.

Department of Education & Workforce

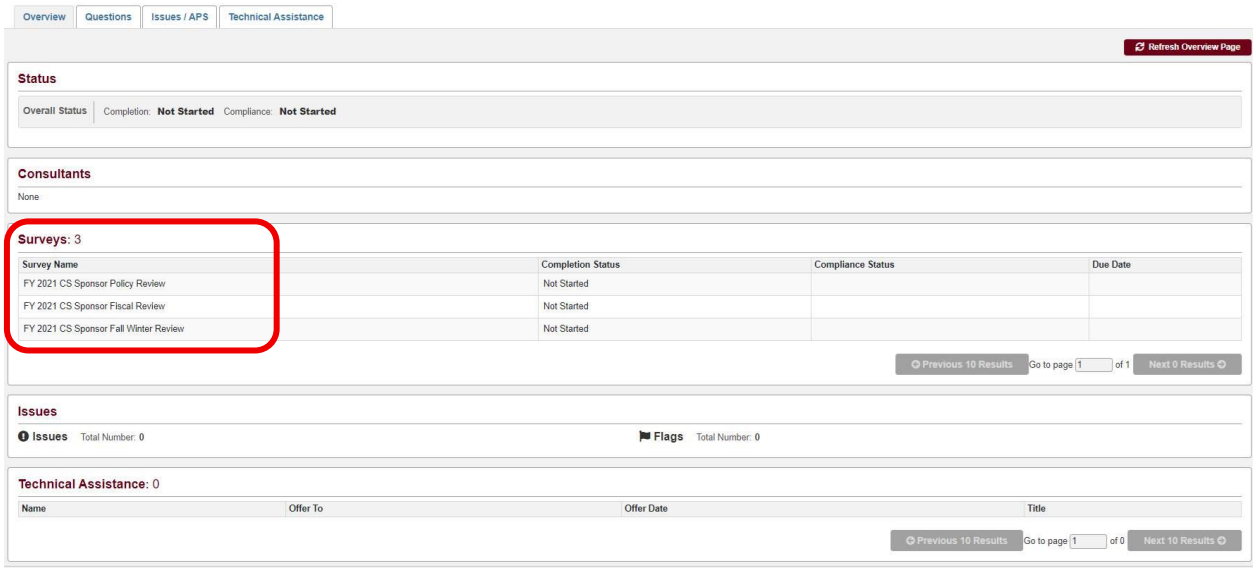
2. Select Consolidated ESEA Grants from the “Select a Program” box.

3. This will take the user to the Basic Search page. The Basic Search Tab will automatically prepopulate the district in the Search Results below.



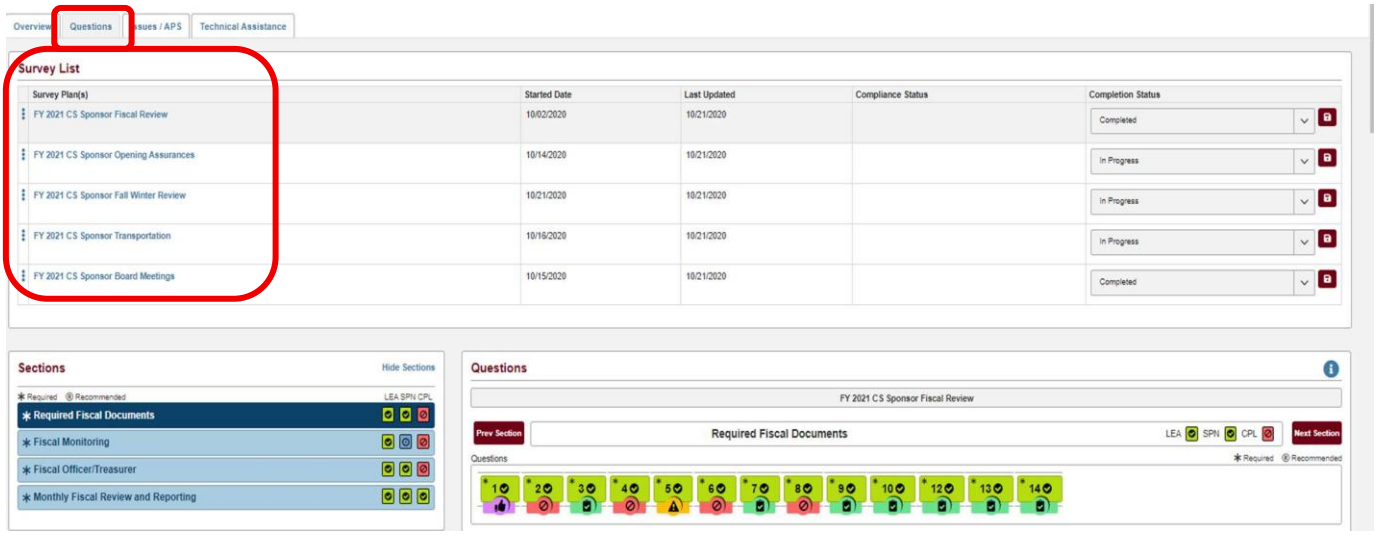
4. Click on the blue link to the district under Organization in the search results section.

5. The monitoring page will open to the overview tab. This page will provide information on the overall status of each survey assigned to the district for Consolidated ESEA programs. Most LEAs will only have one survey. In the screenshot below, the district has three surveys to complete.



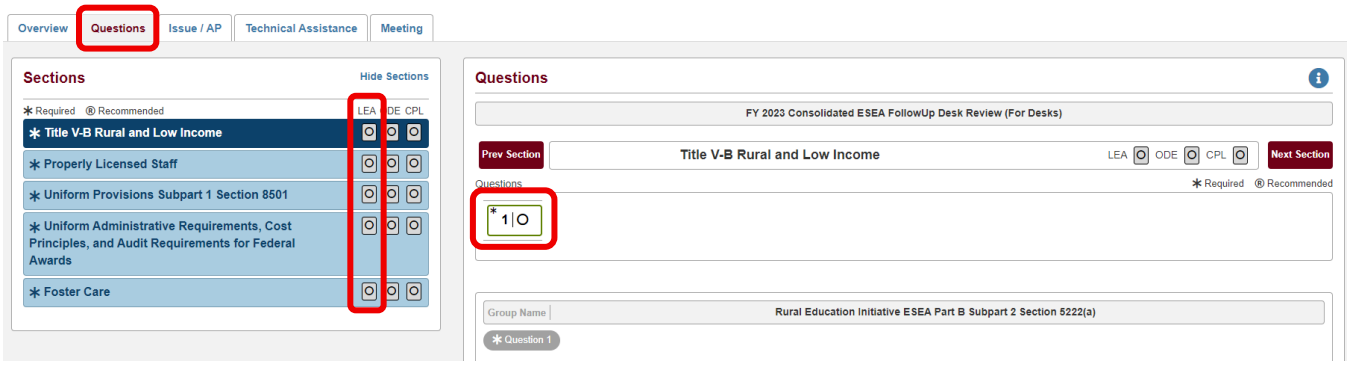
Department of Education & Workforce

6. Click on the question tab at the top of the page. Select the survey from the list. Change the status to “Started.” The questions will then populate the district’s survey.



Each section has question groupings displayed on the right. When the user selects a section, the question numbers will populate on the right-hand side of the page. Each grouping of questions will populate below the numbers as they are clicked. The grouping title will display above the highlighted questions.

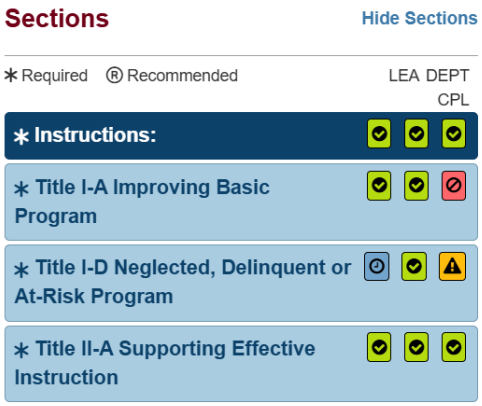
When the survey is first started, the green check boxes will be blank seen as seen in the screenshot below. When the district responds to a question and uploads documentation, the box will turn green. Districts must complete all required questions and cannot submit the survey until all boxes in the LEA column are green.



NOTE: For a follow-up desk review, the only questions that will populate are those for which there was an issue entered in the system from the previous year. These are the only questions that LEAs need to address and upload documentation/evidence for. The purpose is to ensure that action plans from the previous year have been implemented.

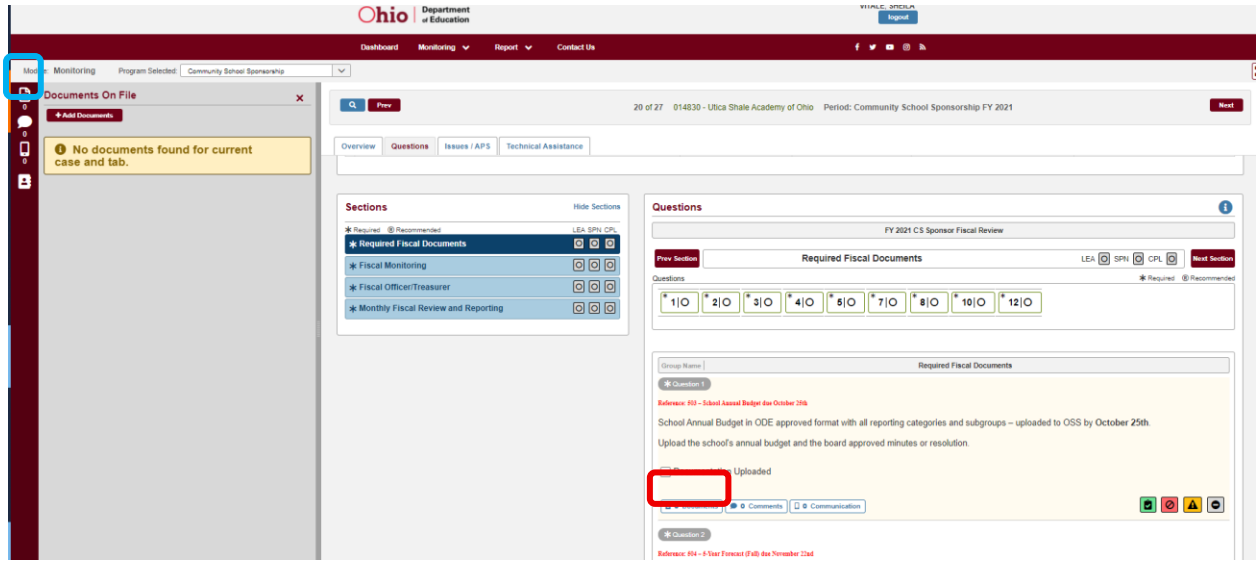
The district needs to respond to all required questions. Questions will either require upload of a document or a comment in a textbox. The federal programs specialist will review the evidence provided, put a checkmark in the box next to the evidence, and determine if it meets the requirements.

Once the survey has been reviewed by the OFP specialist, the DEW column will turn green. The compliance column (CPL) will be a show a green checkmark if compliant, a yellow triangle icon if technical assistance is needed, or a red circle icon if there is an issue with a question.

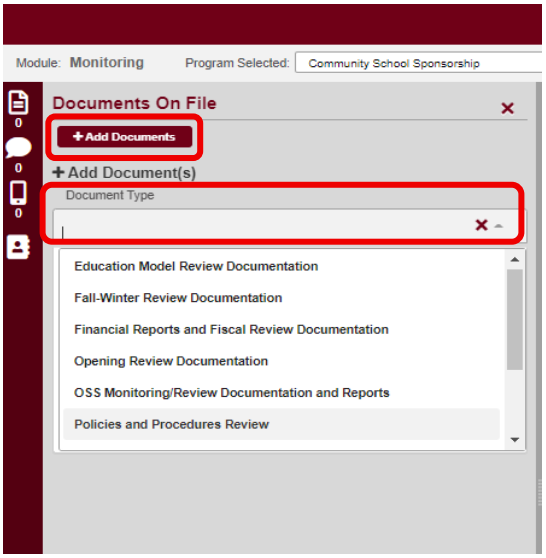


UPLOADING DOCUMENTS

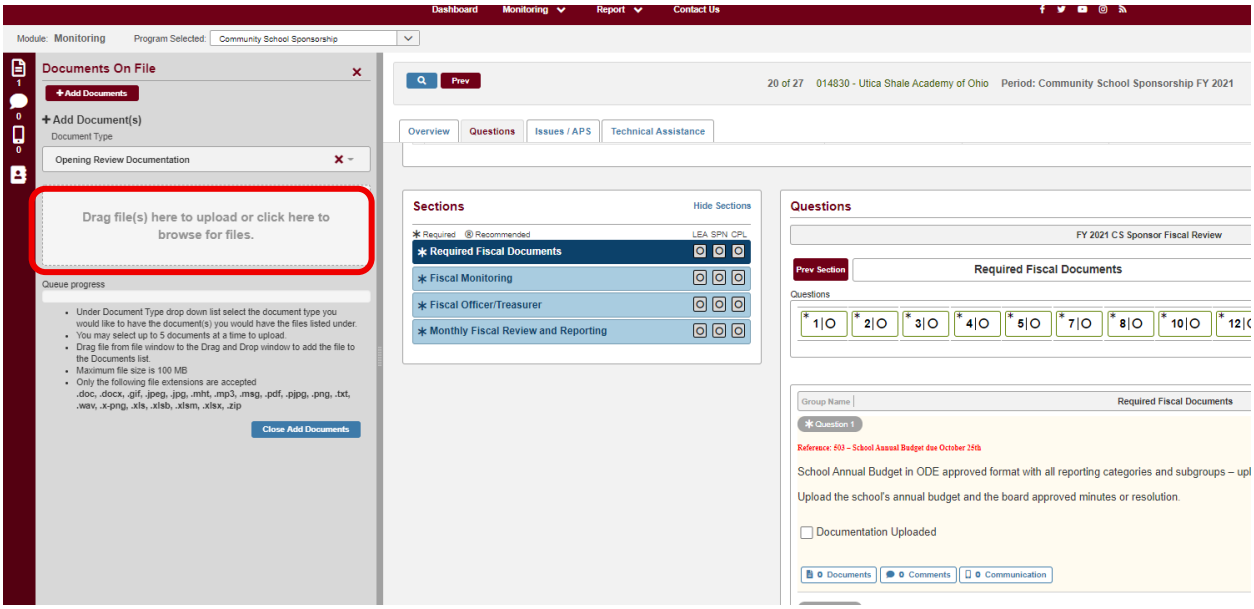
1. There are two ways to upload a document to a question: by clicking on the documents link at the bottom of the survey, or by selecting the document icon on the left-hand side of the screen. Either method will open a document upload section on the left side of the screen.



2. Select Add Documents in the window and select the document type in the drop down.

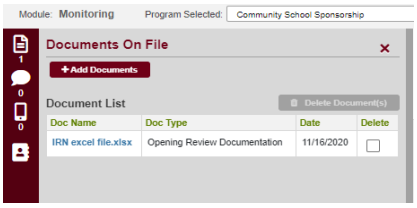


A district may drag a file into the window or click to select the document from their files.

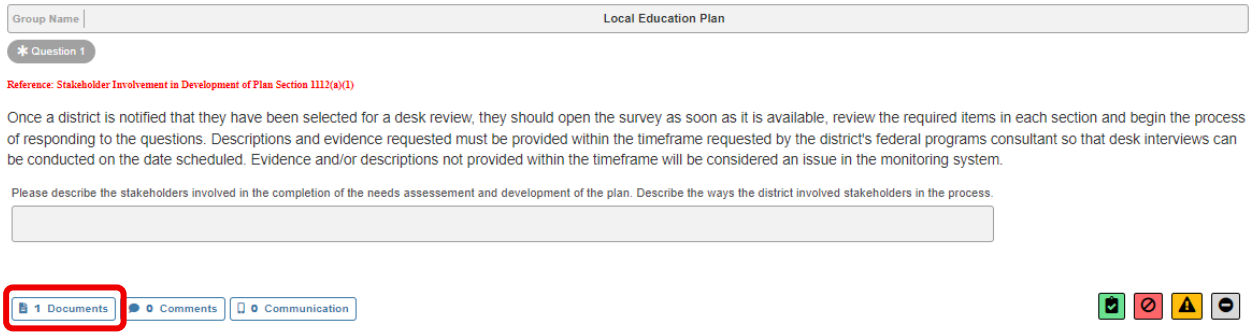


3. Select “Close Add Document.”

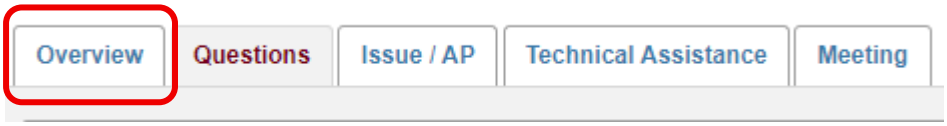
4. The document will appear in a list on the screen.



5. Once a document has been uploaded to a question, the document count will change, and the document will be added to the Document Library and may be used again. ***It is important that documents are linked to the question so that the specialist can determine if the evidence provided is correct for that item. The specialist cannot "guess" which document the district is providing for an item from the document library.***

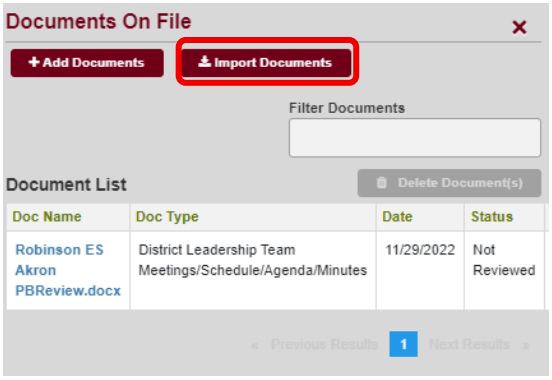


NOTE: A document may be used more than once in the survey to provide evidence for multiple questions. Uploaded documents are added to the survey's document library which can be accessed for quick retrieval. To access the document library, click the Overview tab. Clicking the file icon allows you to view existing documents.



To attach a previously uploaded document to a question:

1. Click "Import Documents" and choose the documents from the document list.

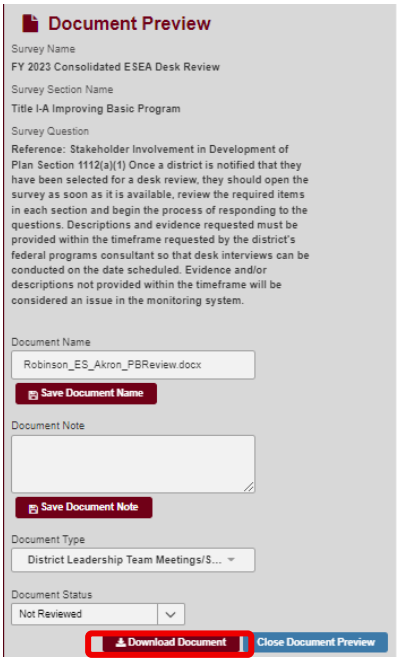


A document preview menu will appear where the file name can be changed, document note entered, and document type can be altered.

2. Click save when altering the file name or entering notes.

3. When complete, click Download Document.

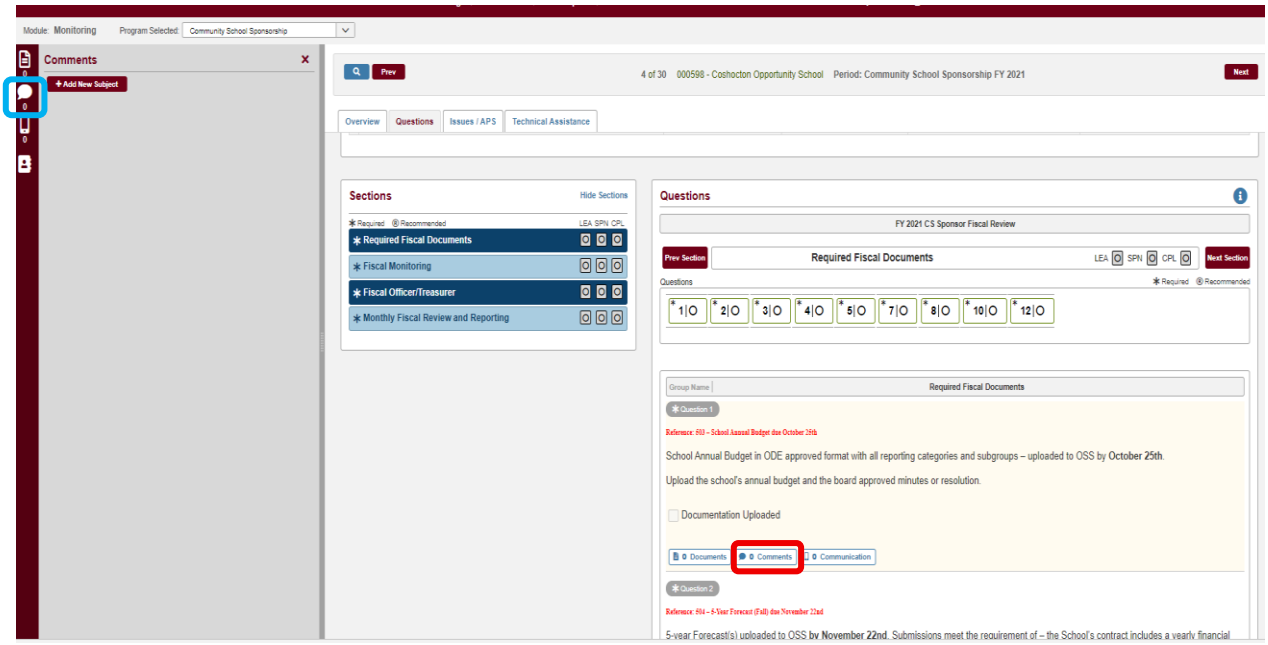
   CAUTION: Although users do not have to use the document library feature and can choose to upload directly in the question itself, doing so will create multiple copies of the document in the document library.



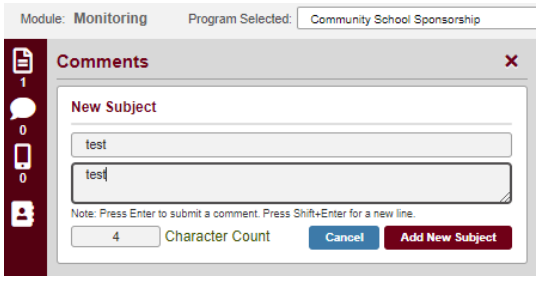
Department of Education & Workforce

ADDING COMMENTS

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



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



3. Select Add New Subject to add the comment to a list of comments for the question.

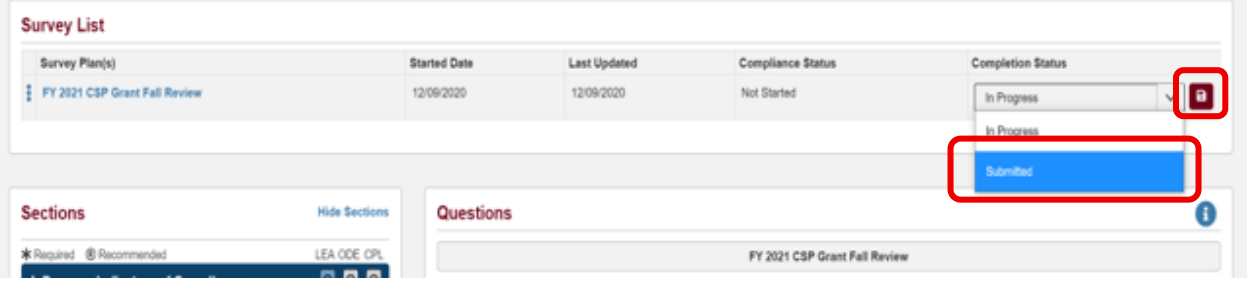
4. Once all questions in a section have been answered, click "Next Section," or click on the next section. The system automatically saves your answers.

Closing the Consolidated ESEA On-Site or Desk Monitoring Survey

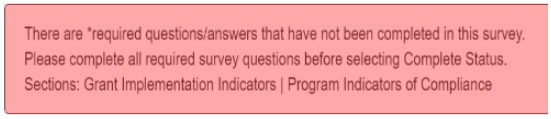
There is a two-step process for closing a Consolidated ESEA grants on-site or desk review survey. The first is completion of the survey, which occurs when the district has responded to all the required items in the survey. The second step is the compliance status, which is completed when all items are either marked compliant or any issues identified have been changed to completed by the Office of Federal Programs.

STEP 1: CLOSING THE SURVEY WITH *SUBMITTED* AND *SURVEY COMPLETED*

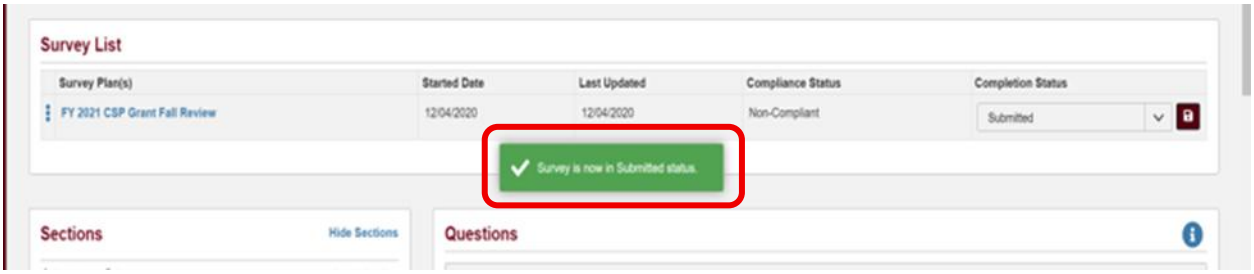
1. Once all the required items are completed in the survey, change the survey status to "Submitted" and click save.



NOTE: All documents and comments must be uploaded before a district changes the survey to submitted. If a district submits the survey and not all required questions have been answered, the below error will prevent the district from submitting the survey.



2. Once all required items have been reviewed and documents are uploaded, the first column on the left-hand side will appear green for each item. At this time, the district may then select "Survey Completed." A message will appear indicating that the district has successfully submitted the monitoring survey.

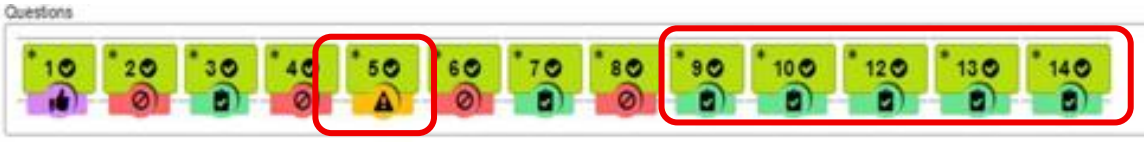


Department of Education & Workforce

STEP 2: CLOSING THE ON-SITE OR DESK SURVEY WITH SPECIALIST REVIEW

1. The specialist will review the evidence the district provided for each required item and determine if it meets the criteria. The program specialist will indicate in the system if the evidence meets the requirement, if the district needs technical assistance, or if there is an issue with the evidence provided. Items that are marked green meet the requirements.

2. Items that are marked with a yellow triangle will have technical assistance provided on the technical assistance tab. The specialist will review each technical assistance item with district staff and discuss areas for improvement. It is the district's responsibility to follow through on identified items. Items identified in previous reviews as technical assistance could become an issue in later reviews if not addressed.



3. If the district only has met requirements or technical assistance items in their monitoring review, the program specialist will close the compliance side of the survey.

STEP 3: CLOSING ISSUES

1. If there are any issues found during the monitoring review, the program specialist will identify the item as an issue. This item will be marked red.



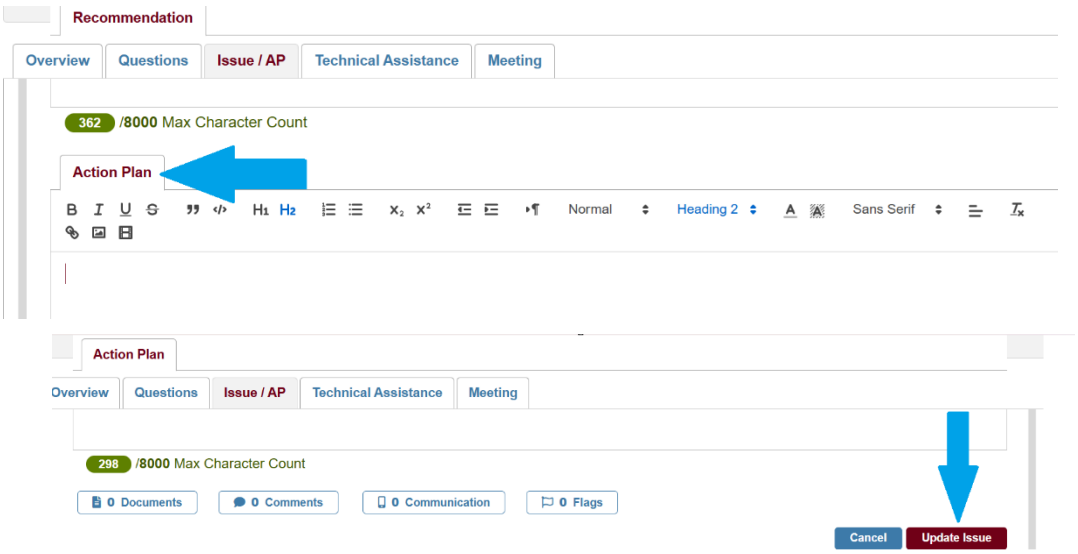
2. The program specialist will describe the issue and provide a recommendation to the district for correcting the issue. Click on the issue ID number to view issue details, including the issue description, recommendation, and the district's corrective action plan (CAP).

3. After the program specialist has created the issue, an Assistant Administrator in the office will review the issue. The system will then populate a tab for the district to provide a CAP and evidence of implementation of the plan. The district has 30 days to provide a CAP in the system after an issue has been submitted.

4. After meeting with the specialist, the district will proceed to add the CAP for the issue. Click the issue/AP tab, then click the three dots on the left side, which will make the Update button available. Click the Update button.



5. This will open the issue and allow the district to enter their corrective action plan. The district should enter their CAP in the "Action Plan" text box. Any evidence to support the action plan should be uploaded into the documents box found directly below. When the CAP and evidence have been added, the district must click the "Update Issue" button found in the lower right-hand corner.



Special Note about Immediate Correction: Sometimes a district can immediately correct an issue and provide evidence that it has been implemented. In these instances, the district only needs to upload evidence, and the program specialist can change the issue to resolved. No corrective action plan is needed.

6. The Superintendent must approve all CAPs submitted prior to approval by the program specialist.

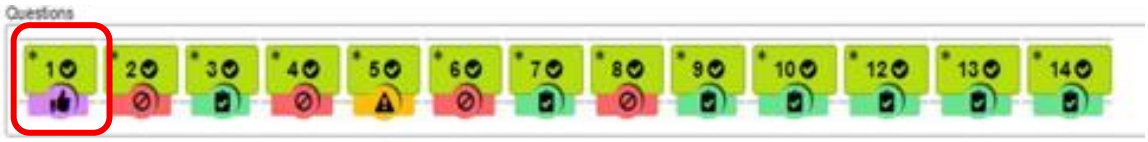
7. The **district** will then click “AP Submitted” on the status dropdown.



8. Once the CAP has been submitted, the specialist will review and determine if it meets the requirements or if additional information or steps are needed.

9. Upon approval of the CAP, the district and program specialist will determine a timeline for plan implementation and for providing evidence of plan completion. The district will upload the evidence to the system when the action plan has been implemented, and the specialist will mark the action plan as “AP Under Implementation.”

   The program specialist will review the evidence and notify their Assistant Administrator that the district has implemented their CAP sufficiently. The Assistant Administrator will change the issue to “Issue Resolved” and this will close the issue. The issue indicator will change from red to purple, indicating that the district has corrected the issue.



   If the specialist determines sufficient evidence has been provided, the issue will be approved, and the monitoring review is closed. Some issues cannot be closed quickly because evidence cannot be collected. In these situations, the review could remain open until the appropriate evidence can be obtained and uploaded.

10. The specialist will review the evidence and notify their assistant administrator that the district has implemented their corrective action plan sufficiently. The assistant administrator will resolve the issue, and this will close the issue. The issue will change from red to purple indicating that the district has corrected the issue.

    completed.

11. When all issues have been resolved, the compliance process is complete.

Self-Survey

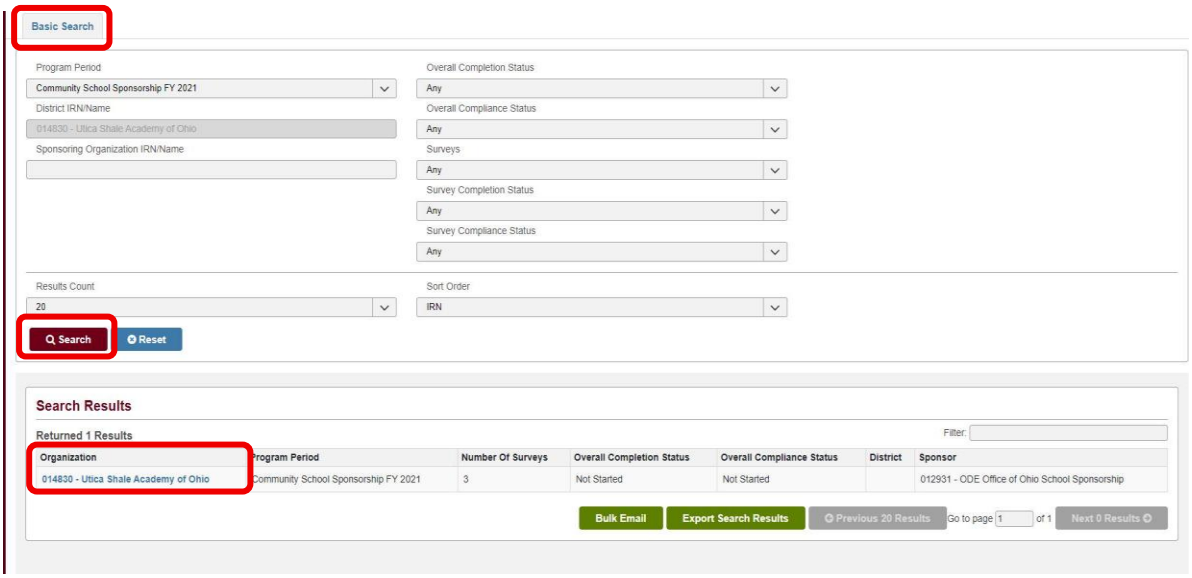
Completing the Consolidated ESEA Self-Survey

The self-survey serves as a tool for districts to ensure they possess the required evidence and can clarify any items in the survey if needed. Districts should not upload documents or respond to questions within the survey. All evidence and explanations should be retained in the district's records. Follow the steps below to complete the self-survey:

1. Once in the monitoring system, the monitoring dashboard will appear. The dashboard provides grant survey information and announcements.

2. Select Consolidated ESEA Grants from the “Select a Program” box.

3. This will take the user to the Basic Search page. The Basic Search Tab will automatically prepopulate the district in the Search Results below.



4. Click on the blue link to the district under Organization in the search results section.

5. The overview tab will open. This page will provide information on the overall status of each survey assigned to the district for Consolidated ESEA programs.

6. Click on the Questions tab to select the survey you want to start working on from the list. Change status to Draft Started. The district’s survey questions will then populate.

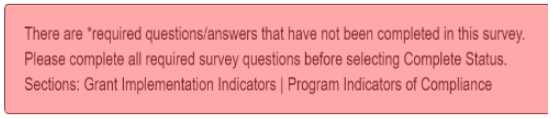
7. The survey will populate with the questions organized into sections. Each section has sub-sections located in question groupings on the right. As you highlight a section, the

question numbers will show up on the right-hand side of the page. Each grouping of questions will populate below the numbers as you click on the numbers. The sub-section title will display above the highlighted questions.

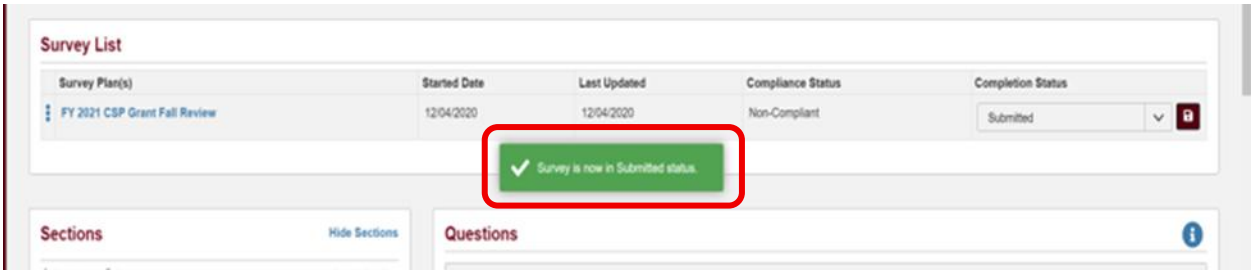
8. The district needs to respond to all required questions. As you go through each item and collect your evidence for district files, check off the item in the checkbox.

9. The self-survey serves as a tool for districts to ensure they possess the required evidence and can clarify any items in the survey if needed. Districts should not upload documents or respond to questions within the survey. All evidence and explanations should be retained in the district's records.

NOTE: If a district submits the survey and not all required questions have been answered, an error will appear on the page, preventing the district from submitting the survey.



Once all the required items have been reviewed the first column on the left-hand side will appear green for each item. At this time, the district may then select “Survey Completed.” A message will appear indicating that the district has successfully submitted the monitoring survey.



Closing the Consolidated ESEA Self-Survey

Closing the consolidated ESEA grants self-survey occurs when the school or district has checked off all the required items in the survey. All items must show green on the left-hand side for sections and sub-sections in the survey. Once all the required items are completed, change the survey status to “Submitted.”



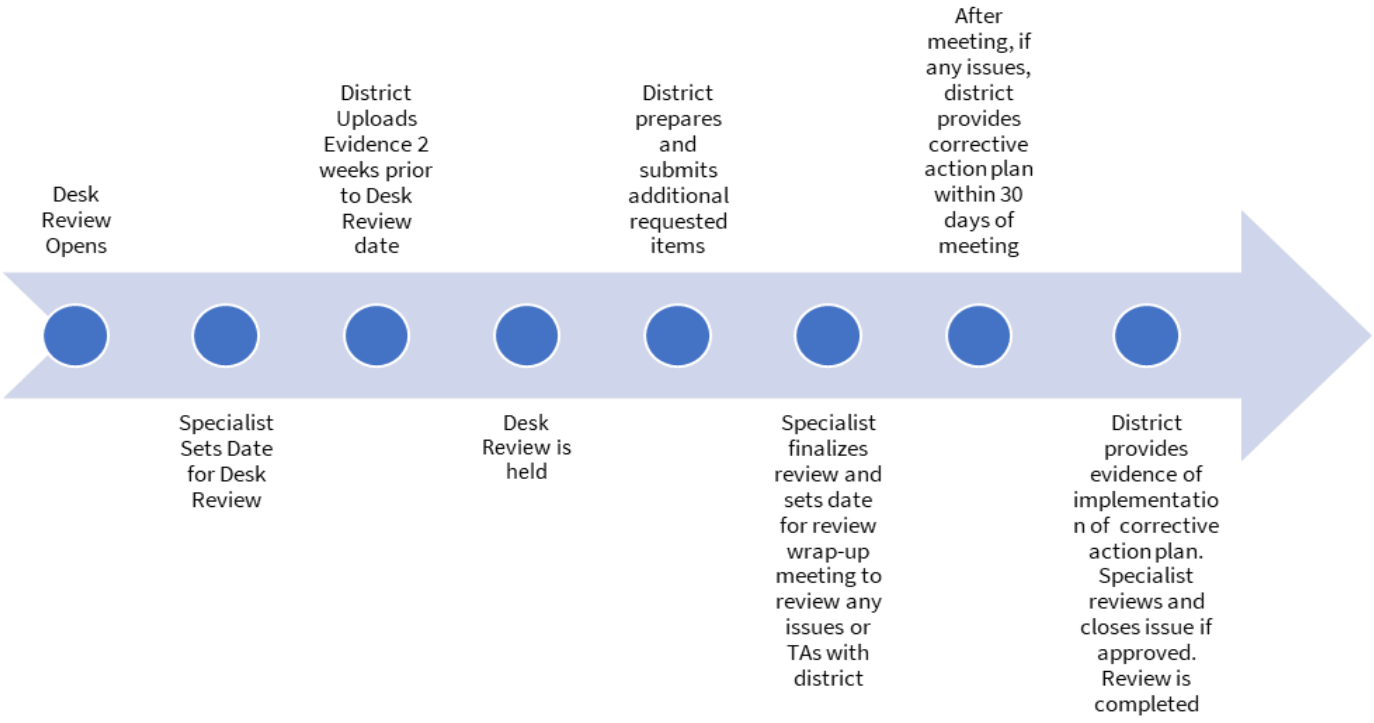
Department of Education & Workforce

Appendix A: Timeline and Flowcharts for Completion of Reviews

Timeline

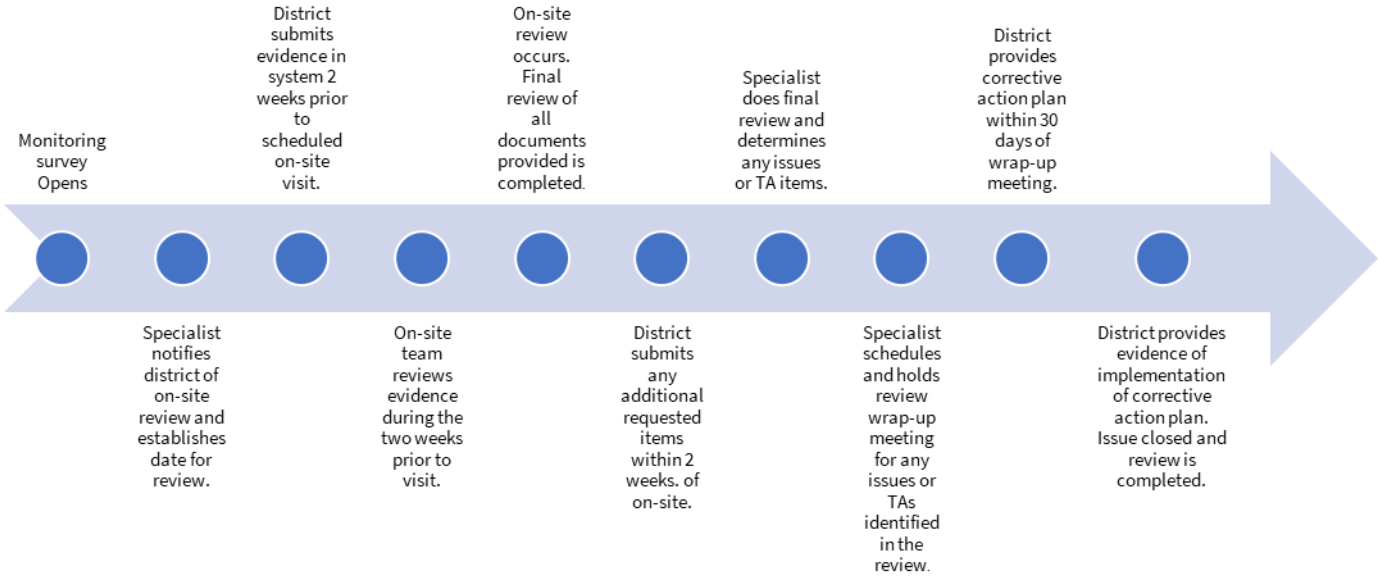
Monitoring Season Timeline				
Review Type	**System Open Date**	**Review Held**	**Corrective Action Plans**	**System Close Date**
Onsite Review	January	January-April	Provided within 30 days of any noted non-compliance issues.	June 30 – All corrective action plans must be approved.
Desk Review	October/November	November-April	Provided within 30 days of any noted non-compliance issues.	June 30 – All corrective action plans must be approved.
Self-Survey	January	N/A	N/A	June 30

Desk Review Flowchart

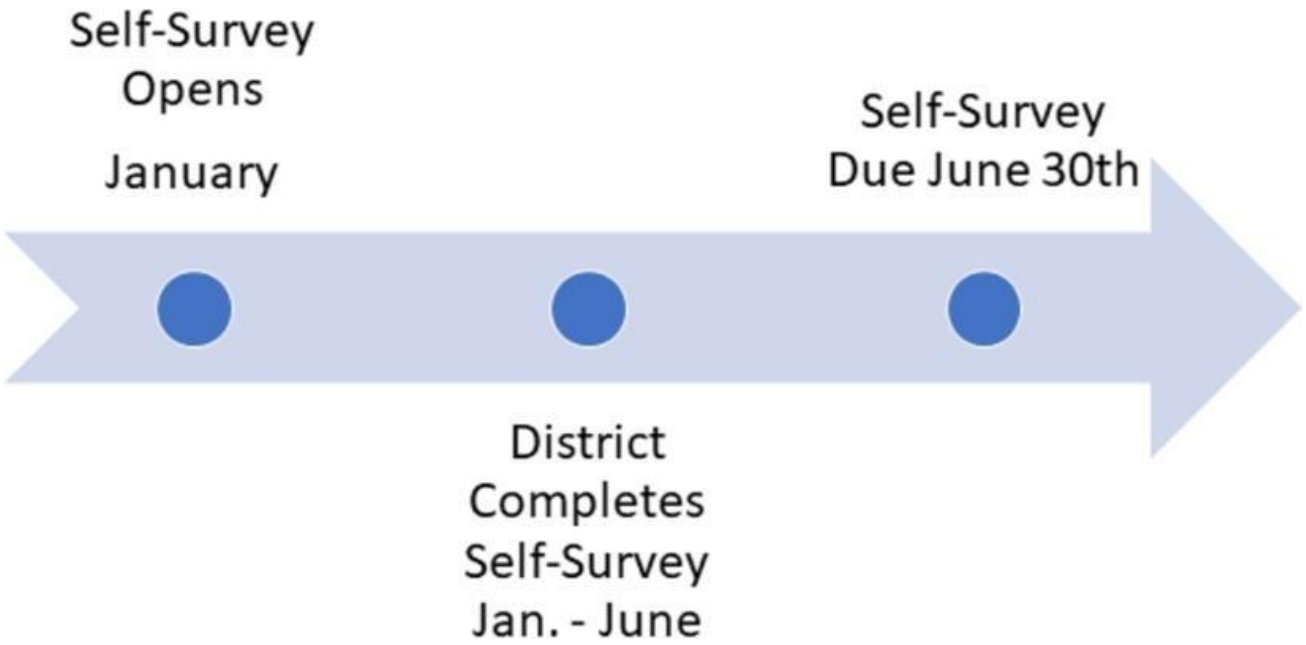


Department of Education & Workforce

On-Site Flowchart



Self-Survey Flowchart



Please note that timely completion of the self-survey reduces the risk factor school for the district.