

ESSER Monitoring –Fiscal and Program Requirements Domains – Grantee Self-assessment

A. State Context

CARES Act
Section 18003

CRRSA Act
Section 313

ARP ESSER
Section 2001 of the American Rescue Plan (ARP) Act

Description: Congress funded the Elementary and Secondary School Emergency Relief Fund through the Coronavirus Aid, Relief, and Economic Security Act (ESSER I), the Coronavirus Response and Relief Supplemental Appropriations Act (ESSER II), and the American Rescue Plan (ARP ESSER). The Department awarded grants to State educational agencies (SEAs) for the purpose of providing local educational agencies (LEAs), including charter schools that are LEAs, with emergency relief funds to address the impact that COVID-19 has had, and continues to have, on elementary and secondary schools across the Nation. Funds must be used for allowable activities to prevent, prepare for, and respond to COVID-19. Under ARP ESSER, States were required to develop and to submit to the Department plans for how they would use ARP ESSER funds to safely re-open schools and provide academic and mental health supports for school communities to address learning loss resulting from the COVID-19 pandemic.

Recommended Participants: State Director, Program Attorney(s), Program Accountant(s)

Subtopics:

- State Context – K-12 Impact
- State Context – Implementation
- State Context – Fiscal Impact/Sustainability
- State Context – Technical Assistance

Self-Assessment Questions

<i>ESSER I, ESSER II, and ARP ESSER</i>		
<i>Subtopic</i>	<i>Questions</i>	<i>Response</i>
State Context – K-12 Impact	Please describe the current, ongoing State specific impacts of COVID-19 on public K-12 education.	<i>(Enter brief response here)</i>
State Context – K-12	Has the State experienced a decline in enrollment in K-12 public	<i>(Enter brief response here)</i>

Impact	schools? If so, what do you think the underlying cause is? Are the declines across the board or more prominent among certain groups of students, such as students from high-income families or students from low-income families? Are private school enrollments increasing? Is home-schooling increasing? Does the State have a strategy to recapture these students?	
State Context – K-12 Impact	What kind of support is the State providing to its LEAs to address learning loss and how is the State supporting its LEAs to better target their uses of funds to address learning loss?	<i>(Enter brief response here)</i>
State Context-Implementation	How did the State use any other federal pandemic relief funds, including Treasury funds, to support K-12 education in the State? How did access to those funds impact how the State implemented the ESSER (ESSER I, ESSER II, and ARP ESSER) programs?	<i>(Enter brief response here)</i>
State Context – Implementation	What actions taken by the State or LEAs, in response to the pandemic and its impact on public K-12 education, do you believe were the most effective and/or the most essential? How were these effective and/or essential actions identified?	<i>(Enter brief response here)</i>
State Context – Fiscal Impact/Sustainability	What practices or services funded by the ESSER programs is the SEA intending to sustain as the programs come to an end? How are those practices or services being identified and how will those activities be sustained?	<i>(Enter brief response here)</i>
State Context – Fiscal Impact/Sustainability	How is the SEA supporting LEAs with identifying impactful practices and planning for sustaining those practices as the ESSER programs come to an end?	<i>(Enter brief response here)</i>
State Context – Technical Assistance	What assistance or information can the Department provide to help the SEA with its implementation of the ESSER programs?	<i>(Enter brief response here)</i>

B. Grantee Budgeting (Administrative and State Activities)

CARES Act
Section 18003(c) and (e)

CRRSA Act
Section 313

ARP ESSER
Section 2001 of the American Rescue Plan (ARP) Act

EDGAR

[34 C.F.R. 76.530 \(General Cost Principles\)](#)

Uniform Guidance
[2 C.F.R. 200.403-475](#)

Description: A grantee and its subrecipients can only use program funds for allowable costs, as defined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements (2 C.F.R. Part 200), which include, among other things, the requirement that costs be reasonable and necessary for the accomplishment of program objectives, which are to prevent, prepare for, and respond to coronavirus. Under ESSER, an SEA may reserve ½ of 1 percent or less of its total ESSER allocation for administrative costs, including both direct and indirect administrative costs. This reservation must come from the portion of funds not required to be allocated to LEAs under the formula and is not subject to the requirement that funds be “awarded” within one year of receipt.

Recommended Participants: State Director, Program Attorney(s), Program Accountant(s)

Subtopics:

- Budget Development Process
- Assurances – Administrative or Executive Salaries and Benefits
- Reservation Use
- Required Reservations

Suggested documentation:

- Documented procedures for developing budgets, including criteria staff use to evaluate proposed costs and activities
- Technical assistance or guidance documentation (handbooks, emails, presentations, etc.) provided to LEAs
- Budget documentation
- Budget or other documentation demonstrating State administrative costs
- Sample guidance or other communications with LEAs regarding how program funds are to be used (including any cost allowability requirements)
- Other documentation that would serve as evidence for the questions asked

Self-Assessment Questions

ESSER I and ESSER II			
Subtopic	Questions	Response	Supporting Documentation
Budget Development Process	How did the SEA prepare budgets and plan for the use of ESSER I and ESSER II administrative and reserve funds?	<i>(Enter brief response here)</i>	
Budget Development Process	If applicable, did the SEA continue to compensate its employees and contractors to the greatest extent	<i>(Enter brief response here)</i>	

	practicable during the period of disruptions or closures related to COVID-19?		
Assurances – Administrative or Executive Salaries and Benefits	Were ESSER I and ESSER II funds used to subsidize, or to offset administrative or executive salaries and benefits for staff related to any of the following:		
Assurances – Administrative or Executive Salaries and Benefits	<ul style="list-style-type: none"> Executive salaries and benefits of individuals who are not employees of the SEA or LEAs? 	<i>Enter YES or NO</i>	
Assurances – Administrative or Executive Salaries and Benefits	<ul style="list-style-type: none"> Expenditures related to State or local teacher or faculty unions or associations? 	<i>Enter YES or NO</i>	
Reservation Use	How does the SEA use its administrative reservation to implement ESSER I and ESSER II? What types of activities or services were funded?	<i>(Enter brief response here)</i>	
Reservation Use	What types of ESSER I and ESSER II activities or services were funded through the State Reserve under CARES or CRRSA?	<i>(Enter brief response here)</i>	
ARP ESSER			
<i>Subtopic</i>	<i>Questions</i>	<i>Response</i>	<i>Supporting Documentation</i>
Budget Development Process	If different than for ESSER I and ESSER II, how did the SEA prepare budgets and plan for the use of ARP ESSER administrative and reserve funds?		
Budget Development Process	What type of consultative efforts took place in development of the ARP ESSER State Plan?	<i>(Enter brief response here)</i>	
Required Reservations	If applicable, how is the SEA using its administrative reservation for ARP ESSER? What types of activities or services are funded?	<i>(Enter brief response here)</i>	
Required Reservations	How is the SEA using its ARP ESSER required State-level activities reservation? What types of activities or services are funded? How have those uses changed during implementation?	<i>(Enter brief response here)</i>	
Additional Documentation	For all subtopics, provide any additional documentation that would serve as evidence for the questions asked.	<i>(Enter list of documents here)</i>	

On-site/Desk Review Questions

<i>Subtopic</i>	<i>Question</i>	<i>Response</i>
TBD	*** Desk review questions will be derived from the initial review of the self-assessment responses, submitted supporting documentation and other documentation and reports submitted by grantees. ***	

C. Allocations/Sub-Award Process

CARES Act
Section 18003(c), (d)

CRRSA
Section 313(c)

CRRSA Act
Section 313 (c)

ARP ESSER
Section 2001 of the American Rescue Plan (ARP) Act

Davis-Bacon and Related Acts

EDGAR
[34 C.F.R. 76.50](#)
[34 C.F.R. 76.51](#)
[34 C.F.R. 76.300](#)
[34 CFR 76.600](#)
[34 CFR 75.600-75.618](#)
[34 C.F.R. 76.789](#)
[34 C.F.R. 76.792](#)

Uniform Guidance
[2 C.F.R. 200.331\(a\)](#)
[2 CFR 3474](#)

Description: The SEA shall ensure that, when subawarding funds to subrecipients, it makes subawards in accordance with applicable statutory and regulatory requirements (including requirements related to the process for subawarding funds and the amounts to be subawarded to individual subrecipients). Under ARP ESSER, States were required to develop and to submit to the Department plans for how it would use ARP ESSER funds to safely re-open and provide academic and mental health supports for school communities to address learning loss resulting from the COVID-19 pandemic. Local educational agencies (LEAs) were required to develop plans consistent with the requirements of ARP ESSER and make them available to the public.

Recommended Participants: State Director, Program Attorney(s), Program Accountant(s)

Subtopics:

- Application Submission (Notification)
- Application Submission
- Charter School LEAs and Other Non-traditional LEAs
- Support for Development of LEA Budgets/Plans
- Prior Approval Process and Construction
- Technical Assistance Provided to LEAs in The Development of The Use of Funds Plans
- Review of LEA Budgets
- Grant Award Notice

Suggested documentation:

- Program manual or handbook excerpt or link describing LEA allocation process for the ESSER grants
- LEA application template or link for the ESSER application (or a consolidated plan template if used)
- If not included in program manual or handbook for ESSER, descriptions of:
 - Process used to calculate LEA amounts
 - Sample LEA award notice for ESSER
 - List of LEAs (including amounts) receiving ESSER funds for the current fiscal year, as applicable
 - Documentation (or description) of process used to review, verify, and approve LEA calculations prior to award
- Technical assistance or guidance documentation (handbooks, emails, presentations, etc.) provided to LEAs
- Sample guidance or other communications with LEAs regarding how program funds are to be used (including any cost allowability requirements)
- Other documentation that would serve as evidence for the questions asked

Self-Assessment Questions

<i>ESSER I, ESSER II, and ARP ESSER</i>			
<i>Subtopic</i>	<i>Questions</i>	<i>Response</i>	<i>Supporting Documentation</i>
Application Submission (Notification)	Describe how the SEA notifies all eligible entities of the process for receiving an ESSER and ARP ESSER award.	<i>(Enter brief response here)</i>	

Charter School LEAs and Other Non-traditional LEAs	Describe how the SEA notifies charter school LEAs of the process for receiving an ESSER and ARP ESSER.	<i>(Enter brief response here)</i>	
Application Submission	Describe how the SEA collects LEA applications for awards for ESSER and ARP ESSER.	<i>(Enter brief response here)</i>	
Charter School LEAs and Other Non-traditional LEAs	Describe how the SEA collects LEA applications for charter school LEAs for ESSER and ARP ESSER.	<i>(Enter brief response here)</i>	
Review of LEA Budgets	Describe the process used to review LEA budgets and/or other information submitted during the application review process for ESSER I and ESSER II to ensure that LEA proposed uses of funds are only for allowable activities and allowable expenditures.	<i>(Enter brief response here)</i>	
Support for Development of LEA Budgets/Plans	Please describe how the SEA provided guidance or technical assistance to LEAs and charter school LEAs in the development of their uses of funds plans and budgets.	<i>(Enter brief response here)</i>	
Support for Development of LEA Budgets/Plans	Please describe the guidance or technical assistance the SEA provided to LEAs and charter school LEAs, including on the use of data, to support the development of their budgets around the required uses of funds for addressing learning loss.	<i>(Enter brief response here)</i>	
Prior Approval Process and Construction	Please describe the SEA's process to evaluate LEA prior approval requests for construction, remodeling, alterations, renovations, or repairs projects, including how the SEA ensures that the projects are related to preventing, preparing for, or responding to COVID-19.	<i>(Enter brief response here)</i>	
Prior Approval Process and Construction	What guidance and/or technical assistance does the SEA provide to LEAs regarding the requirements under Davis-Bacon and Related Acts and other requirements around construction, renovation, and other applicable projects?		
Grant Award Notice	Do the SEA's LEA award notices for ESSER and ARP ESSER include the required information from 2 C.F.R. 200.332(a) ?	<i>Yes/No (Circle One)</i>	*Grantees should include a sample copy of their grant award notification for each grant (ESSER I, ESSER II, and ARP ESSER).

ARP ESSER			
Subtopic	Questions	Response	Supporting Documentation
Technical Assistance Provided to LEAs in The Development of The Use of Funds Plans	Describe the technical support provided to LEAs in the development of their Use of Funds Plans to select evidenced-based interventions to address the disproportionate impact of COVID-19 on certain groups of students as it relates to (1) the impact of lost instructional time, (2) summer learning and enrichment, and (3) comprehensive afterschool interventions? Describe any data used or provided.	<i>(Enter brief response here)</i>	
Review of LEA Budgets	Describe the process used to review LEA budgets and/or other information submitted during the application review process for ARP ESSER to ensure that LEA proposed uses of funds are only for allowable activities and allowable expenditures, including the required use of funds to address learning loss.	<i>(Enter brief response here)</i>	
Review of LEA Budgets	If different than for ESSER I and ESSER II, what is the SEA's process to evaluate prior approval requests from LEAs for ARP ESSER?	<i>(Enter brief response here)</i>	
Additional Documentation	For all subtopics, provide any additional documentation that would serve as evidence for the questions asked.	<i>(Enter list of documents here)</i>	

On-site/Desk Review Questions

Subtopic	Question	Response
TBD	*** Desk review questions will be derived from the initial review of the self-assessment responses, submitted supporting documentation and other documentation and reports submitted by grantees. ***	

D. Transparency Act Reporting

CARES Act
Section 15011

CRRSA Act
Section 312(a)

Federal Funding Accountability and Transparency Act of 2006 (FFATA), Pub.L. 109-282, as amended by the Digital Accountability and Transparency Act (DATA Act), Pub.L. 113-101

Reporting Subaward and Executive Compensation Information (2 C.F.R. Part 170)

[2 C.F.R. 170.220\(a\)](#)

[2 C.F.R. 170 App. A](#)

Uniform Guidance

[2 C.F.R. 200.300\(b\)](#)

Description: On a monthly basis, a State receiving ESSER I, ESSER II, and ARP ESSER funds must report information identifying subrecipients (name, address, UEI) and subawards (CFDA number, award number, title) if, at any point during the award period, the SEA subawards \$30,000 or more in program funds (cumulatively) to any single subrecipient. For more information on FFATA see [FSRS – Federal Funding Accountability and Transparency Act Subaward Reporting System](#).

Recommended Participants: State Director, Program Attorney(s), Program Accountant(s)

Subtopics:

- FFATA Reporting
- FFATA Data Accuracy

Suggested documentation:

- Documented policies and procedures for FFATA reporting
- Sample communications with LEAs regarding FFATA reporting
- Other documentation that would serve as evidence for the questions asked

Self-Assessment Questions

<i>ESSER I, ESSER II, and ARP ESSER</i>			
<i>Subtopic</i>	<i>Questions</i>	<i>Response</i>	<i>Supporting Documentation</i>
FFATA Reporting	What process does the SEA use to ensure that all required Federal Funding Accountability and Transparency Act (FFATA) subawards are reported accurately to the FFATA subaward reporting system (FSRS) in accordance with established timelines (i.e., by the end of the month following the month in which the qualifying award was made)?	<i>(Enter brief response here)</i>	

FFATA Reporting	Who is responsible for submitting FFATA reports for the SEA?	<i>(Enter brief response here)</i>	
FFATA Reporting	If the SEA has experienced reporting challenges, what documentation can you provide to serve as evidence of efforts made to resolve issues?	<i>(Enter brief response here)</i>	
FFATA Reporting	What is the status of FFATA subaward reporting?	<i>(Enter brief response here)</i>	
FFATA Data Accuracy	What internal controls are in place to ensure accurate subaward reporting?	<i>(Enter brief response here)</i>	
FFATA Data Accuracy	What process does the SEA use to ensure that all required Federal Funding Accountability and Transparency Act (FFATA) subawards are reported accurately to the FFATA subaward reporting system (FSRS) in accordance with established timelines (i.e., by the end of the month following the month in which the qualifying award was made)?	<i>(Enter brief response here)</i>	
Additional Documentation	For all subtopics, provide any additional documentation that would serve as evidence for the questions asked.	<i>(Enter list of documents here)</i>	

On-site/Desk Review Questions

Subtopic	Question	Response
TBD	*** Desk review questions will be derived from the initial review of the self-assessment responses, submitted supporting documentation and other documentation and reports submitted by grantees. ***	

E. Risk Assessment of LEAs and Other Subrecipients

Uniform Guidance
[2 C.F.R. 200.332\(b\)](#)

Description: To determine the appropriate method and level of subrecipient monitoring, a grantee shall evaluate each subrecipient’s risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward.

Recommended Participants: Chief Financial Officer (or CFO representative), State Director, Program Attorney(s), Program Accountant(s)

Subtopics:

- LEA and Other Subrecipient Risk Assessment Process
- Use of Subrecipient Risk Assessments
- Risk Data and Risk Assessment Improvements

Suggested documentation:

- Documented risk assessment policies and procedures
- Sample risk assessment frameworks, tools, etc.
- Explanations (and examples) of how risk assessments are utilized to inform program management
- Other documentation that would serve as evidence for the questions asked

Self-Assessment Questions

<i>ESSER I, ESSER II, and ARP ESSER</i>			
<i>Subtopic</i>	<i>Questions</i>	<i>Response</i>	<i>Supporting Documentation</i>
LEA and Other Subrecipient Risk Assessment Process	What is the SEA’s process for assessing its LEAs’, or other subrecipients’, risk of noncompliance with the Federal statutes, regulations, and the terms and conditions of the subaward? When does the SEA evaluate each LEA’s or other subrecipient’s, level of risk? Are all LEAs and subrecipients included in the assessment?	<i>(Enter brief response here)</i>	
LEA and Other Subrecipient Risk Assessment Process	What risk indicators are included in the SEA’s subrecipient risk assessment?	<i>(Enter brief response here)</i>	
Risk Data and Risk Assessment Improvements	How does the SEA evaluate its subrecipient risk assessment process? What changes have been made based on the evaluation? How have any changes to the risk assessment process impacted subrecipient monitoring?	<i>(Enter brief response here)</i>	
Additional Documentation	For all subtopics, provide any additional documentation that would serve as evidence for the questions asked.	<i>(Enter list of documents here)</i>	

On-site/Desk Review Questions

<i>Subtopic</i>	<i>Question</i>	<i>Response</i>
TBD	*** Desk review questions will be derived from the initial review of the self-assessment responses, submitted supporting documentation and other documentation and reports submitted by grantees.***	

F. Subrecipient Monitoring

[Section 442 of the General Education Provisions Act \(GEPA\), 20 U.S.C. 1232e.](#)

Uniform Guidance

[2 C.F.R. 200.332\(d\), \(e\)](#)

[2 C.F.R. 200.403-475](#)

[Davis-Bacon and Related Acts](#)

EDGAR

[34 CFR 76.600](#)

[34 CFR 75.600-75.618](#)

Description: A grantee shall monitor subrecipients and any other entities, including external providers, receiving Federal funds from programs to ensure that all applicable fiscal and programmatic performance goals are achieved and that subawards are used for authorized purposes and in compliance with Federal statutes, regulations, and the terms and conditions of Federal awards.

Recommended Participants: State Director, Program Attorney(s)

Subtopics:

- Pre-Monitoring Process
- Monitoring Activities
- Post-Monitoring Process

Suggested documentation:

- LEA and subrecipient monitoring handbooks, SOPs, etc. for ESSER
- LEA and subrecipient monitoring schedules or monitoring plans for ESSER
- Sample LEA and subrecipient monitoring protocols for ESSER (or a multi-program monitoring protocol, if applicable)
- Monitoring report for an LEA or subrecipient from most recent visit with a monitoring finding
- Documentation of corrective action follow-up activities for LEA or subrecipient monitoring findings, including both communications and evidence of implementation of corrective action (if available)
- Other documentation that would serve as evidence for the questions asked

Self-Assessment Questions

ESSER I, ESSER II, and ARP ESSER			
Subtopic	Questions	Response	Supporting Documentation
Pre-Monitoring Process	How does the SEA select subrecipients for monitoring? Does the grantee use its risk assessment process?	<i>(Enter brief response here)</i>	
Pre-Monitoring Process	How many LEAs are monitored each monitoring cycle for ESSER and ARP ESSER?	<i>(Enter brief response here)</i>	
Pre-Monitoring Process	How does the SEA notify subrecipients selected for subrecipient monitoring?	<i>(Enter brief response here)</i>	
Pre-Monitoring Process	How does the SEA coordinate and train its program staff (and/or contractors) for subrecipient monitoring?	<i>(Enter brief response here)</i>	
Monitoring Activities	How does the SEA monitor LEA compliance with the requirements of Section 442 of the General Education Provisions Act (GEPA), 20 U.S.C. 1232e.?	<i>(Enter brief response here)</i>	
Monitoring Activities	When in the grant cycle does program monitoring occur?	<i>(Enter brief response here)</i>	
Monitoring Activities	What types of program monitoring activities does the SEA engage in to ensure that subrecipients are meeting requirements that program funds are used only for authorized purposes and in compliance with all applicable Federal statutes, regulations, and the terms and conditions of Federal awards?	<i>(Enter brief response here)</i>	
Monitoring Activities	What data, other than academic data, is being reviewed and used to address the changing needs of students and school communities during program monitoring ?	<i>(Enter brief response here)</i>	
Monitoring Activities	During program monitoring , how does the SEA monitor subrecipients and provide support for the use of academic and other data to continuously improve its uses of funds to address the evolving needs of students and school communities and to address learning loss?	<i>(Enter brief response here)</i>	

Monitoring Activities	Describe the process the SEA uses to monitor financial/fiscal requirements.	<i>(Enter brief response here)</i>	
Monitoring Activities	How does the SEA monitor whether a subrecipient used ESSER funds to subsidize, or to offset administrative or executive salaries and benefits for staff related to any of the following:		
	Executive salaries and benefits of individuals who are not employees of the SEA or LEAs?	<i>(Enter brief response here)</i>	
	Expenditures related to State or local teacher or faculty unions or associations?	<i>(Enter brief response here)</i>	
Monitoring Activities	How does the SEA monitor compliance with the requirements for construction, remodeling, alterations, renovations, and repairs from Uniform Guidance Cost Principles (2 C.F.R. 200.403-475), as well as the Department’s applicable regulations regarding construction at 34 CFR 76.600 and 75.600-75.618 and any other applicable statutes or regulations? (See Frequently Asked Questions Elementary and Secondary School Emergency Relief Programs Governor’s Emergency Education Relief Programs, B-6)	<i>(Enter brief response here)</i>	
Monitoring Activities	How does the SEA monitor compliance with the requirement that an LEA record the notice of federal interest in the official real property records for the jurisdiction in which the facility is located as soon as possible but ideally when the LEA receives approval from the SEA to construct or renovate a facility?	<i>(Enter brief response here)</i>	
Monitoring Activities	How does the SEA monitor LEA compliance with the requirement that, to the greatest extent practicable, they continue to compensate their employees and contractors?	<i>(Enter brief response here)</i>	
Post-Monitoring Process	Has monitoring resulted in the SEA being made aware of any waste, fraud, or abuse regarding ESSER fund grants, subgrants or	<i>(Enter brief response here)</i>	

	contracts, either at the State or local level? If so, what was the process used to identify and report the issue? What type of follow up occurred or occurs when waste, fraud, or abuse is identified?		
Post-Monitoring Process	How does the SEA follow up with subrecipients when there is a GEPA issue related to the steps the LEA takes to permit students, teachers, and other program beneficiaries to overcome barriers (including barriers based on gender, race, color, national origin, disability, and age) that impede access to, or participation in, the program?	<i>(Enter brief response here)</i>	
Post-Monitoring Process	How does the SEA follow up with an LEA if there are Davis-Bacon violations or noncompliance with the requirements for construction, remodeling, alterations, renovations, and repairs from Uniform Guidance Cost Principles (2 C.F.R. 200.403-475), as well as the Department’s applicable regulations regarding construction at 34 CFR 76.600 and 75.600-75.618 and any other applicable statutes or regulations?	<i>(Enter brief response here)</i>	
Post-Monitoring Process	Describe the process the SEA uses to ensure that LEAs or other subrecipients address and resolve issues identified during monitoring (i.e., monitoring follow-up).	<i>(Enter brief response here)</i>	
Post-Monitoring Process	How are monitoring activities finalized prior to the closeout of subrecipient grants?	<i>(Enter brief response here)</i>	
Post-Monitoring Process	What have been some of the common findings? How has the SEA addressed any trends in findings?	<i>(Enter brief response here)</i>	
Post-Monitoring Process	How is the SEA using the data it reviews during monitoring to continuously improve the implementation of its ESSER programs?	<i>(Enter brief response here)</i>	
Post-Monitoring Process	Of the evidenced-based interventions implemented under the ARP ESSER State Plan to address the impact of lost	<i>(Enter brief response here)</i>	

	instructional time, summer school and afterschool enrichment programs, are there any specific interventions that the State would deem as a promising practice? If so, why does the State believe that the intervention(s) is/are worth highlighting? What evidence does the State have to support its determination?		
Post-Monitoring Process	What changes to implementation (policy, oversight, technical assistance, etc.) has the SEA made because of its monitoring of LEAs?	<i>(Enter brief response here)</i>	
Additional Documentation	For all subtopics, provide any additional documentation that would serve as evidence for the questions asked.	<i>(Enter list of documents here)</i>	

G. Equitable Services

CARES Act
Section 18005

ESEA
[Section 1117](#)

EDGAR
[34 C.F.R. 76.661](#)

Description: A local educational agency receiving ESSER funds under section 18003 of the CARES Act shall provide equitable services in the same manner as provided under section 1117 of the ESEA to students and teachers in non-public schools, as determined in consultation with representatives of non-public schools.

Recommended Participants: State Director, Program Attorney(s), Program Accountant(s) Equitable Services Ombudsman

Subtopics:

- Equitable Services Reservation of Funds
- SEA Oversight of Equitable Services
- Equitable Services Guidance and Support

Suggested documentation:

- Guidance provided to LEAs regarding provision of equitable services
- Samples of any reviews conducted regarding equitable services
- Guidance or sample communications with private schools or private school organizations around the provision of equitable services
- Guidance or sample technical assistance documents provided to private school officials or private school organizations
- Other documentation that would serve as evidence for the questions asked

Self-Assessment Questions

ESSER I			
Subtopic	Questions	Response	Supporting Documentation
Equitable Services Reservations of Funds	How much in funds have been reserved for equitable services? What is the number of participating schools and the amount of total funds allocated for services?	<i>(Enter brief response here)</i>	
SEA Oversight of Equitable Services	How does the SEA ensure that its LEAs engage in timely and meaningful consultation with private school officials?	<i>(Enter brief response here)</i>	
SEA Oversight of Equitable Services	What process (or processes) does the SEA use to ensure that LEAs are providing equitable services to private schools in accordance with applicable requirements?	<i>(Enter brief response here)</i>	
SEA Oversight of Equitable Services	How does the SEA ensure that LEAs are properly monitoring the distribution and use of equipment and supplies purchased for the purposes of providing equitable services to eligible private schools?	<i>(Enter brief response here)</i>	
SEA Oversight of Equitable Services	What information did an LEA provide to the SEA during the subrecipient application process regarding its plans for providing equitable services using ESSER funds?	<i>(Enter brief response here)</i>	
Equitable Services Guidance and Support	Did the SEA provide guidance to private school officials to enable them to better understand the requirements and process for equitable services and to facilitate the process of consultation with LEAs? If so, what information was provided?	<i>(Enter brief response here)</i>	

Additional Documentation	For all subtopics, provide any additional documentation that would serve as evidence for the questions asked.	<i>(Enter list of documents here)</i>
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H. Liquidation Extension Requests

CARES Act
Section 18003

CRRSA Act
Section 313

Uniform Guidance
[2 CFR § 200.344\(b\)](#)

Description: Under [2 CFR § 200.344\(b\)](#), properly obligated funds must be liquidated within 120 calendar days (or by January 28, 2023, for CARES Act funds). The Department has the authority to approve liquidation extension requests for properly obligated funds upon review of a written request made by a grantee on its own behalf or on behalf of its subgrantees. Final approval of a grantee’s written request will be based upon the specific facts and circumstances, in accordance with [2 CFR § 200.344\(b\)](#). If approved under this process, grantees and subgrantees may have an extension to the liquidation period of up to 14 months beyond the 120 days already available to liquidate funds.

Recommended Participants: State Director, Program Attorney(s), Program Accountant(s)

Subtopics:

- Liquidation of Funds
- Liquidation Extension Request Approval
- Subrecipient Monitoring
- Drawdown Progress

Suggested documentation:

- G5 drawdown information
- Approved liquidation extension letter
- Liquidation Extension Request submitted by grantee
- Guidance provided to subrecipients regarding need for liquidation extension
- Samples of any collected documentation reflecting timely obligation and allowable uses of funds for liquidation extension inclusion
- Samples of any reviews conducted regarding subrecipient liquidation extension
- Guidance or sample technical assistance documents provided to subrecipients related to liquidation of funds
- Other documentation that would serve as evidence for the questions asked

Self-Assessment Questions

ESSER I and ESSER II			
Subtopic	Questions	Response	Supporting Documentation
Liquidation of Funds	What is the status of CARES ESSER, CRRSA ESSER and ARP ESSER liquidations/drawdown of funds?	<i>(Enter brief response here)</i>	
Liquidation Extension Request Approval	Describe the process of collecting information and documentation from subrecipients included within the State’s Liquidation Extension Request. (If the grantee does not have an extension to the period of liquidation, no further responses are necessary.)	<i>(Enter brief response here)</i>	
Subrecipient Monitoring	How is the grantee monitoring the implementation its approved Late Liquidation Extension Request for those subrecipients that received an extension to the liquidation period?	<i>(Enter brief response here)</i>	
Subrecipient Monitoring	What documentation has been collected from subrecipients included in the grantee’s approved Late Liquidation Extension Request related to timely obligation and allowable uses of funds?	<i>(Enter brief response here)</i>	
Subrecipient Monitoring	How does the grantee ensure that LEAs are using late liquidation funds on approved uses and not modifying contracts or budgets in a manner that is not in compliance with the Late Liquidation Extension Request?	<i>(Enter brief response here)</i>	
Subrecipient Monitoring	What technical assistance or support has been provided to subrecipients related to the final liquidation of funds regarding contracts and contracted services included in the Late Liquidation Extension Request?	<i>(Enter brief response here)</i>	

Drawdown Progress	When are the state-level late liquidation funds anticipated to be liquidated? <i>(If there are no state-level funds included, proceed to the next question).</i>	<i>(Enter brief response here)</i>	
Drawdown Progress	When are subrecipient late liquidation funds anticipated to be liquidated?	<i>(Enter brief response here)</i>	
Additional Documentation	For all subtopics, provide any additional documentation that would serve as evidence for the questions asked.	<i>(Enter list of documents here)</i>	

On-site/Desk Review Questions

<i>Subtopic</i>	<i>Question</i>	<i>Response</i>
TBD	*** Desk review questions will be derived from the initial review of the self-assessment responses, submitted supporting documentation and other documentation and reports submitted by grantees. ***	