

Leading with Collaboration in Compliance

Debby A. Thompson

Assistant Commissioner | Federal Programs & Oversight

Scan the QR to
Access SSC 77
RESOURCES



DISCLAIMER

Generative AI Tools

The **State of Tennessee does not currently permit the use of Generative AI tools**, such as Otter, in meetings hosted on state resources. Meetings with contractors, vendors, and subrecipients are not public meetings and may involve discussion of protected state data.

Generative AI tools are not adequately regulated and are designed to train on data that is collected and may misrepresent data or release protected data to the general public.

While the State supports your desire to maintain documentation of the meeting and what you learn, **please respect our decision to safeguard information** and do not attempt to use tools such as these. If you choose to use a tool such as this, the State will block that tool from the meeting.

.....



Agenda

- Monitoring Overview
- Trends from the FY26 Results-Based Monitoring Season
- Supports and Resources
- Questions and Conclusion



Why We Monitor

- Monitoring is designed to ensure federal program requirements are met while supporting effective program implementation and improved student outcomes.



Why is a risk analysis required?

- The Tennessee Department of Education (department) must:
 - **conduct a risk analysis,**
 - **evaluate** each subrecipient's [the local education agency (LEA)] **risk of non-compliance** for purposes of determining appropriate monitoring, and
 - **monitor** its subrecipients to assure **compliance and performance goals** are achieved.
- Monitoring must include:
 - **reviewing financial** [Office of the Chief Financial Officer (OCFO)] and **programmatic** [Federal Programs and Oversight (FPO)] **reports,**
 - **ensuring corrective action** (Monitoring Results), and
 - issuing a management decision on audit findings (**approval/non-approval**).
- The risk analysis determines the tier of monitoring for each LEA.

2 C.F.R. § 200.331 [Education Department General Administrative Regulations (EDGAR)]



How We Monitor

- Monitoring levels,
 - **Level 3:** LEAs earning **significant** risk on the risk analysis, business rules 1-13 (excluding 4)
 - **Level 2:** LEAs earning **elevated** risk on risk analysis
 - **Level 1:** LEAs earning a **low** risk on the risk analysis
- Risk analysis business rules, and
- Opportunities for technical assistance and support throughout the process.

.....

Resources

- FY27 Risk Analysis data available in **ePlan > Data and Information > FY27 > Results-Based Monitoring Risk Analysis**



Activity

- Review the risk analysis handout
- Identify one data element that may be impacting your district's risk score.
 - Review the district's internal process for collecting, validating, and submitting the data.
 - Determine whether additional checkpoints, staff training, or monitoring procedures are needed to ensure data accuracy and timely reporting.
- Determine one data element process to review with your leadership team on next steps.

.....

Common Questions...

- Q: Can you reduce my score if....?
- Q: We hired a new person on X date...
- Q: Spill the tea. Who did worse than us?
- Q: Why me????





Debby A. Thompson

Deborah.Thompson@tn.gov | (615) 864-5162

Permission is granted to use and copy these materials for non-commercial educational purposes with attribution credit to the "Tennessee Department of Education". If you wish to use the materials for reasons other than non-commercial educational purposes, please contact the office of general counsel at (615) 741-2921.