SCHOOL NAME:

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| --- | --- | --- | --- |
| **Grant / Program Name:** |  | Fund Code: | Award Period: |
| **Grant Team** |  | | |
| Principal:  Designated Point Person:  Grant Compliance Monitor:  Grants Budget Analyst: |  | | |
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| DATES OF ON-SITE VISITS: | | | |

**SECTION 1**

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| **Risk Indicators to Program Compliance (to be completed initially at the start of each school year)** | | | |
| 1. Is the grant program new to the school (within the last three years)? | Yes (↑ risk)  No (↓ risk)  N/A | 1. Has the school staff thoroughly reviewed the grant requirements and any associated federal and/or state regulations? | No (↑ risk)  Yes (↓ risk)  N/A |
| 1. Is the award a significant source of revenue for the school (Greater than $300,000)? | Yes (↑ risk)  No (↓ risk)  N/A | 1. Does a system for organizing and storing grant documentation exist? | No (↑ risk)  Yes (↓ risk)  N/A |
| 1. Have there been audit or monitoring findings related to the program in the past five years (violation of program requirements, untimely submittal of draw downs, amendments, reports, failure to return unspent grant funds, etc.)? | Yes (↑ risk)  No (↓ risk)  N/A | 1. Is there a new Principal designated point-person for the grant (within the last two years)? | Yes (↑ risk)  No (↓ risk)  N/A |
| 1. Is there a new principal (within the last two years)? | Yes (↑ risk)  No (↓ risk)  N/A | 1. Comments (List any record retention findings): | |
| 1. Are financial / support personnel or staffing resources limited? | Yes (↑ risk)  No (↓ risk)  N/A |  | |

**SECTION II**

**REQUIREMENTS SUMMARY**

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| 1. **School Improvement Plan BINDER TAB 1**   **Federal Budget Addendum** | | | | | Risk of Non-Compliance: |
| If Risk is indicated as “High”, explain current conditions: | | | | | **High**  **Medium**  **Low** |
| **ELEMENTS OF COMPLIANCE**  **(Check for presence and compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS** | |
| 1. Planning meeting agenda and parent sign in sheets for the School Level Plan / School Improvement Plan and budget meetings from previous Spring | Fall: |  |  |  | |
| 1. Planning meeting agenda and leadership team sign in sheets for the School Level Plan / School Improvement Plan and budget meetings from previous Spring | Fall: |  |  |  | |
| 1. School Level Plan (Focus / Priority) or School Improvement Plan (Non-Designated) | Fall: |  |  |  | |
| 1. Yearly School Improvement Plan Revision (Focus / Priority only) | Fall: |  |  |  | |
| 1. Schoolwide Planning Addendum | Fall: |  |  |  | |
| 1. School Accountability Letter to parents (Focus/Priority Schools) | Fall: |  |  |  | |

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| 1. **Title I Budgets BINDER TAB 2** | | | | | **Risk of Non-Compliance:** |
| If Risk is indicated as “High”, explain current conditions: | | | | | **High**  **Medium**  **Low** |
| **ELEMENTS OF COMPLIANCE**  **(Check for presence and / or compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS** | |
| 1. SMS budget pages for Title I, School Intervention Funds (if applicable), Title II Reduced Class Size (if applicable), Title I Reduced Class Size (if applicable), Title I Kindergarten (if applicable), Focus / Priority Budget-Push In Positions (if applicable) | Fall: |  |  |  | |
| 1. Signed Budget Amendment Forms. Note: To include the Budget Amendment Form (BAF) in the binder and e-mail correspondence with the school Principal / staff requesting the change. SMS contains comments / edits. | As proposed and processed |  |  |  | |
| 1. Journal voucher approval forms | As proposed and processed |  |  |  | |

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| 1. **Expenditures (Contracted/Purchased Services and/or Materials) BINDER TAB 3** | | | | | **Risk of Non-Compliance:** |
| If Risk is indicated as “High”, explain current conditions: | | | | | **High**  **Medium**  **Low** |
| **ELEMENTS OF COMPLIANCE**  **(Check for presence and / or compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS** | |
| 1. Resolutions & contracts with supporting documentation, e.g. quotes, bids, background clearances, if applicable | As proposed and processed |  |  |  | |
| 1. LCAs with supporting documentation, e.g. quotes, background clearances, if applicable | As proposed and processed |  |  |  | |
| 1. Equipment test (random selection or recent purchases; check for presence; review deletions and transfers for compliance). Results to be recorded on the Google Sheet located on the Google Drive. The data will need to be transferred to the Google Sheet in January for sample tests conducted the first half of the year, and in June for sample tests conducted in the second half of the year. | Sep. – Jan.  Feb. – June |  |  |  | |
| 1. Advantage Appropriation Report for: Title I basic instruction, Title I PD, Title I Parent Involvement, School Intervention Funds (check for expenditures over or under budget). Print prior to PDE Monitoring and place in the binder. | Before monitoring |  |  |  | |
| 1. Grant Quotation Forms | As proposed and processed |  |  |  | |

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| 1. **Parental Involvement BINDER TAB 4** | | | | | **Risk of Non-Compliance:** |
| If Risk is indicated as “High”, explain current conditions: | | | | | **High**  **Medium**  **Low** |
| **ELEMENTS OF COMPLIANCE**  **(Check for presence and / or compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS** | |
| 1. Agenda and sign in sheets for annual required Title I parent meeting. (Agenda must list mandated items such as state academic standards, monitoring child’s progress, parents Rights to Know, etc.) | Fall: |  |  |  | |
| 1. Agenda and sign in sheet(s) for all parent workshops/meetings (if applicable) and all correspondence home (letters, calendars, etc.) | Sept.  Oct.  Nov.  Dec.  Jan.  Feb.  March  April  May  June |  |  |  | |
| 1. Planning agenda and sign in sheet(s) for Parent Involvement Policy / Compact meeting(s) | Fall: |  |  |  | |
| 1. Signed School Parent Involvement Policy (with translations, if applicable) | Fall: |  |  |  | |

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| **ELEMENTS OF COMPLIANCE**  **(Check for presence and / or compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS** |
| 1. School / Parent Compact (with translations, if applicable) | Fall: |  |  |  |
| 1. School District Family Involvement Policy | Fall: |  |  |  |
| 1. ESSA Requirement Log (completed) | Winter: |  |  |  |
| 1. General Right To Know Letter sent to all parents (with translations, if applicable) | Fall: |  |  |  |
| 1. 4 Week Right To Know Letter and completed RTK Communication Log (with translations, if applicable) | Winter: |  |  |  |
| 1. RSVPs for parent meetings / workshops (if food provided) with completed Meal Request Form | Check as forms are approved |  |  |  |
| 1. Parent Survey with results | Feb. |  |  |  |
| 1. Transition Plan and agendas / sign-ins / calendars related to transition programs (Kindergarten, Middle Years, Incoming Freshman / Summer Bridge, etc.) | Winter: |  |  |  |
| 1. Parent sign-in sheets and agenda documenting school training related to literacy / technology / assessments, etc. and helping parents to work with their children | Winter: |  |  |  |

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| 1. **Extended Day/Week/Year Programs BINDER TAB 5** | | | | | | | **Risk of Non-Compliance:** |
| If Risk is indicated as “High”, explain current conditions: | | | | | | | **High**  **Medium**  **Low** |
| **ELEMENTS OF COMPLIANCE**  **(Check for presence and compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | | | **N/A** | **COMMENTS** | |
| 1. Approved EC Request form (if grant-funded); Priority schools retain evidence of extended learning opportunities in core content to ensure compliance. | After each event / program is approved | |  | |  |  | |
| 1. Student & Teacher sign in sheets and content for all Title I allowable EC activities to match payroll expenditures. Check monthly to ensure activities match the school’s plan and paperwork is processed timely. | Sept.  Oct.  Nov.  Dec.  Jan.  Feb.  March  April  May  June | |  | |  |  | |
| 1. Summer program / extended learning documentation | End of Summer: | | |  |  |  | |

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| 1. **Professional Development BINDER TAB 6** | | | | | **Risk of Non-Compliance:** |
| If Risk is indicated as “High”, explain current conditions: | | | | | **High**  **Medium**  **Low** |
| **ELEMENTS OF COMPLIANCE**  **Check for presence and / or compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS** | |
| 1. All (school, District & vendor) professional development agendas & sign in sheets for PD occurring during the school day   **District-Wide Professional Development Dates**  **School Year 2016-2017**  SEPTEMBER DATES:  ☐ September 1st Academic Year Preparation  ☐ September 2nd Full Day PD  ☐ September 6th Full Day PD  ☐ September 30th Full Day PD  NOVEMBER DATES:  ☐ November 8th Full Day PD  \* Mandatory Agenda Items:   * Educating staff on effective communication with parents. * Working with parents as equal partners. * Effective report card conferences.   JANUARY DATES:  ☐ January 3rd Full Day PD  MARCH DATES:  ☐ March 6th Half Day PD  ☐ March 31st Half Day PD | Sept.  Oct.  Nov.  Dec.  Jan.  Feb.  March  April  May  June |  |  |  | |

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| **ELEMENTS OF COMPLIANCE**  **Check for presence and / or compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS** |
| 1. Agenda and staff sign-ins for PD related to educating staff on communicating and working with parents as equal partners. Evidence of parental assistance required. | Winter: |  |  |  |
| 1. Conference documentation (i.e. 194s / 195s, turnaround plan, description, attendees, etc.) | After each event / program is approved |  |  |  |
| 1. PD Request Forms for PD occurring outside the school day | As proposed and processed |  |  |  |
| 1. PD Attendance Logs with agendas for paid PD (with 324/cover sheets). Check monthly to ensure activities match the school’s plan and paperwork is proceeded timely. | Sept.  Oct.  Nov.  Dec.  Jan.  Feb.  March  April  May  June |  |  |  |

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| 1. **Personnel BINDER TAB 7** | | | | | **Risk of Non-Compliance:** |
| If Risk is indicated as “High”, explain current conditions: | | | | | **High**  **Medium**  **Low** |
| **ELEMENTS OF COMPLIANCE**  **(check for presence and compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS** | |
| 1. First semester schedules (to include content, room number, grade) for all grant-funded positions (see tab 2) including schedules for all “released” personnel funded with grant funds (i.e. SBTL, Counselor, Climate Positions, etc.) | Nov. |  |  |  | |
| 1. Second semester schedules (to include content, room number, grade) for all grant-funded positions (see tab 2) including schedules for all “released” personnel funded with grant funds (i.e. SBTL, Counselor, Climate Positions, etc.) | Feb. |  |  |  | |
| 1. Time and Effort documentation: semi-annual time certification (s) for first semester | Jan. |  |  |  | |
| 1. Time and Effort documentation: semi-annual time certification for second semester | June |  |  |  | |

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| **Other School Based Federal Grants (IF APPLICABLE)– NAME OF GRANT(S)** | | | | | **Risk of Non-Compliance:** |
| If Risk is indicated as “High”, explain current conditions: | | | | | **High**  **Medium**  **Low** |
| **ELEMENTS OF COMPLIANCE**  **(Check for presence and compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS**  **(Indicate the Location of these Records)** | |
| 1. SMS budget pages / Advantage Reports for allocated funds and personnel (as applicable) | Fall: |  |  |  | |
| 1. Personnel (PAR) documents completed (if applicable) | Nov.  Feb. |  |  |  | |
| 1. Semi-Annual Time and Effort Certifications (other than the Schoolwide CERTS, if applicable) | Jan.  June |  |  |  | |
| 1. Purchase documentation completed (Grant Quote Forms, Contracts / Resolutions, etc. if applicable) | Jan.  June |  |  |  | |
| 1. Signed payroll documentation (PD-EC Attendance Logs, Student Sign-ins, 324s, etc. if applicable) | Jan.  June |  |  |  | |
| 1. Travel documents (SEH-194 / 195, conference descriptions, turnaround plans, etc. if applicable) | As proposed and processed |  |  |  | |
| **Record Retention** | | | | | **Risk of Non-Compliance:** |
| If Risk is indicated as “High”, explain current conditions: | | | | | **High**  **Medium**  **Low** |
| **ELEMENTS OF COMPLIANCE**  **(Check for presence and compliance)** | **MONITORING FREQUENCY** | **Not**  **Met Met** | **N/A** | **COMMENTS** | |
| 1. Year-end closeout conversation discussing records retention (check for record presence, completeness and compliance with policy) | EOY and before monitoring & audit visits / Transfer of Principal |  |  |  | |

**Other Explanatory Information**

**SPECIFIC COMPONENTS OF GCM REVIEW NEW FOR THE 2016-17 SCHOOL YEAR**

The following are items that require a first level of review by the GCM with subsequent spot checking by either a Lead GCM or Executive Director of Grant Compliance. The items listed under each category are the elements of GCM review. If not complete or inconsistent with the requirements listed, have the school correct the issue.

***Review of each school’s Parent Involvement Policy (PIP) and Compact:***

* Documents are written for the correct/current school year
* PIP is signed on last page by the administrator and the date signed by the administrator is not after the distribution date
* Dates in PIP (Question 1 and Adoption Section in back of PIP)/Compact match the parent agenda and sign in sheets
* Documents are completed (each question has an answer and all headers are complete with school name)

***Annual TI Meeting:***

* All required topics (per PDE) are addressed on the school agenda
* Copy of powerpoint or talking points used are included in submission of paperwork
* Dates on sign in sheet(s) match agenda and are in the current school year

***1st and 2nd semester Schedules:***

* Schedules for all employees reflect the correct number of hours assigned (paid for) in SMS
* Check to ensure that Grants are not filled while vacancies exist in Operating
* Check for over-appointments in grants and compare this with vacancies in Operating. When credentials are the same, work with Position Control and HR (when necessary) to reassign people
* Check for allowability of activities based on information provided on the schedule (ensuring the employee is doing WHAT he/she is budgeted for based on SMS – FBA)
* Ensure the TII E/S position is in the identified grades
* Ensure vacancies are documented especially with the change in staffing
* Make sure documents are signed and dated appropriately by administrators

***Semi-Annual Certs:***

* Cross reference TPERs against the time cert
* Cross reference time certs against SMS seniority reports
* Cross reference time certs against salary history (Position Control)
* Ensure that employees paid with IDEA-B, JROTC, SEL, food services and Perkins are listed on separate time certs
* Ensure that all employees (especially admin and itinerant) have signed in during this pay period
* Ensure that the administrator has signed each page of all TPERs and related attendance documentation.
* Ensure that the time cert is signed after the close of the collected pay period.

NOTES