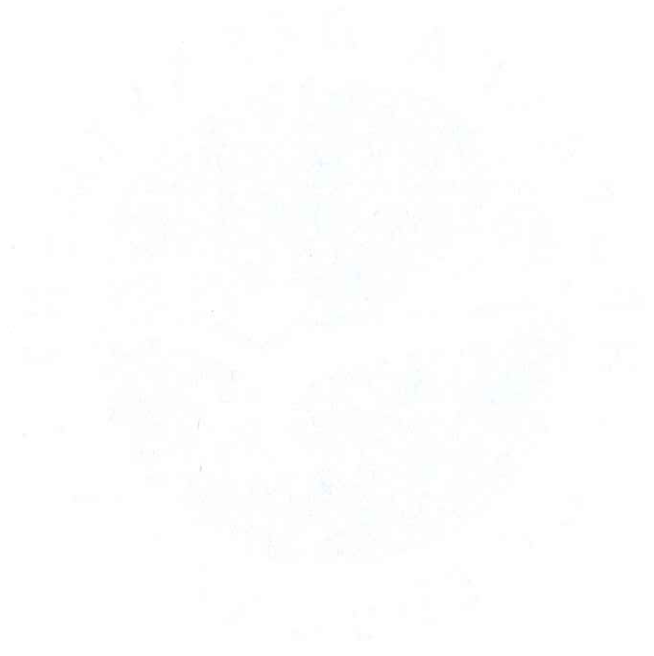




Sub-recipient fiscal monitoring Guide/ checklist
Individuals with Disabilities Education Act



THE UNIVERSITY OF CHICAGO

Sub-recipient: _____

Phone: _____ E-mail: _____

NDE Reviewer(s): _____

Grant Dates: Beginning: _____ End: _____

Date review was conducted: _____ on site _____ remote

Sub-recipient staff: _____ Title _____

Sub-recipient staff: _____ Title _____

Preliminary notification e-mail sent on _____

Applicable Programs/ Grants to be reviewed

- | | |
|---|--|
| <input type="checkbox"/> Part B, Sect. 611 Base 4404 | <input type="checkbox"/> Part B, CEIS 4411 |
| <input type="checkbox"/> Part B, Sect. 611 Enrollment/ Poverty 4410 | <input type="checkbox"/> Part B, Non-Public 4412 |
| <input type="checkbox"/> Part B, Sect. 619 Preschool 4406 | <input type="checkbox"/> Part C (Birth to 3) |
| <input type="checkbox"/> Discretionary (project number & description) | |

Review Objectives:

- Reported expenditures are for goods and services authorized and received.
- Expenditures are necessary and reasonable.
- Expenditures are both allowable and consistent with policies & procedures that apply to federally funded and other activities of the sub recipient.

Category	Yes	No	NA	Supporting documents obtained?	Comments
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A) Policies & Procedures

1) Procurement				
2) Suspension & Debarment				
3) Physical Inventory of Equipment (recommended annually)				

Sub-recipient: _____

Category	Yes	No	NA	Supporting documents obtained?	Comments
4) Financial/ Programmatic Records retention reflect federal requirements?					

B) Payroll & Fringe Benefits (Object codes 100 and 200)

Names / FTE/ position of staff:

1) Personnel allowable?					
2) Personnel paid during project award period?					
3) Expenditure supported by PAR's? (time & effort)					
4) Personnel paid same as listed in application?					
5) Split coding necessary?					

C) Purchased Services (Object code 300)

Description of services & vendors:

1) Purchased Services allowable?					
2) Service performed during project award period?					
3) Supported by invoices/ billing?					

Sub-recipient: _____

Category	Yes	No	NA	Supporting documents obtained?	Comments
4) Bills/ invoices have sufficient detail?					
5) Service provider using approved NDE rate?					
6) Authorized by agency administrator?					
7) Split coding necessary?					

D) Supplies & Materials (Object code 400)

Description of purchases & vendors:

1) Item allowable?					
2) Purchased during project period?					
3) Supported by invoices/ billing?					
4) Authorized by agency administrator?					
5) Being used to assist children with disabilities?					
6) Specified on IEP/ IFSP?					
7) Item listed in inventory?					
8) Item clearly labelled as IDEA purchase?					
9) Item viewed?					

Sub-recipient: _____

Category	Yes	No	NA	Supporting documents obtained?	Comments
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E) Equipment/ Construction (Object code 500)

Description of purchases & vendors:

1) Item allowable?					
2) Purchased during project award period?					
3) Supported by invoices/ billing?					
4) Authorized by agency administrator?					
5) Being used to assist children with disabilities?					
6) Specified on IEP/ IFSP?					
7) Item listed in inventory?					
8) Item clearly labelled as IDEA purchase?					
9) Item viewed?					
10) Voc. Rehab, ADA Consultation process completed?					
11) Individual item cost is \$5000 or greater?					
12) NDE IDEA supplemental application approved?					
13) Construction performed during project award period?					

Sub-recipient: _____

Category	Yes	No	NA	Supporting documents obtained?	Comments
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F) Travel/ Professional Development (Object code 600)

Description of purchases & vendors:

1) Activity allowable?					
2) Activity performed during project award period?					
3) Activity supported by invoices/ billing?					
4) Authorized by agency administrator?					
5) Meeting agenda?					
6) Roster of participants?					
7) Sign in list?					

G) Proportionate Share

1) Services provided during project award period?					
2) Any funds being carried over to next project period?					
3) If funds not used for Non-Public, was the IDEA application amended?					
4) Non-Public consult meeting properly documented?					
5) Annual public notice posted?					
6) Expenditures properly authorized by district administrator?					

Sub-recipient: _____

Category	Yes	No	NA	Supporting documents obtained?	Comments
7) District staff providing service?					
8) Training/ professional development provided to Non-Public staff?					
9) Equipment or supplies purchased for Non-Public use?					

H) Coordinated Early Intervening Services (CEIS)

1) Required?					
2) District is using total amount available (15%)?					
3) Staff member responsible for project has been identified?					
4) Process for identifying target sub group has been documented?					
5) Strategies/ interventions are different from services routinely available?					
6) Procedures established for submitting required student reports?					
7) Student reports submitted?					
8) Training provided to project staff?					
9) Student outcomes are measurable?					
10) Activities are linked to district or building School Improvement Action plan?					

Sub-recipient: _____

Category	Yes	No	NA	Supporting documents obtained?	Comments
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I) Maintenance of Effort (MOE)

1) District met MOE for the previous school year?					
2) Exceptions (from the previous school year)					

Reviewer recommendation: Follow-up e-mail sent on _____

☐ Satisfactory

☐ Refer to comments: _____

☐ Submitted to SPED Finance Office for further review: _____

Issue resolved?					
Financial Adjustment?					
Other follow up required?					

Follow up e-mail sent _____

Sub-recipient: _____

Category	Yes	No	NA	Supporting documents obtained?	Comments
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Notes: