

**OSSE LEA Part B Compliance Monitoring Tool (8/31/2012)**

Name of LEA		Review Completed By				
Name of School		Date of Review				
Item # Regulation/ Authority	Item text	Response Criteria	Y	N	N A	Corrective Actions/Improvement Activities:
ESY – 1 §300.106(a)(3)	LEA provides ESY to students of any disability category, based on need.	<p><b>Yes</b> = There is no evidence, through LEA policies, procedures or interviews, that the LEA has limited ESY services to students in particular disability categories.</p> <p><b>No</b> = There is evidence, through LEA policies, procedures or interviews, that the LEA has limited ESY services to students in particular disability categories.</p>				<p>The LEA must develop a plan or policy to ensure that ESY is not limited to students in particular disability categories.</p> <p>OSSE must confirm that the LEA is correctly implementing the specific regulatory requirement (i.e., achieved 100% compliance) based on a review of updated data.</p>
LRE – 2 §300.115	The LEA has a continuum of alternative placements available, including instruction in regular classes, special classes, special schools, home instruction, and instruction in hospitals and institutions.	<p><b>Yes</b> = There is evidence, through LEA policies, procedures or interviews, that the LEA has made available educational placements along all points of the continuum.</p> <p><b>No</b> = There is evidence, through LEA policies, procedures or interviews, that the LEA has NOT made available educational placements along all points of the continuum.</p>				<p>The LEA must develop a plan to provide a continuum of alternative placements consistent with the regulatory requirement.</p> <p>OSSE must confirm that the LEA is correctly implementing the specific regulatory requirement (i.e., achieved 100% compliance) based on a review of updated data.</p>
IEP – 3 §300.323(d)(1)	The LEA ensures that students' IEPs are accessible to all who are responsible for their implementation (regular education teachers, special education teachers, related service providers).	<p><b>Yes</b> = There is evidence that the LEA has made students' IEPs accessible to all individuals responsible for their implementation.</p> <p><b>No</b> = There is evidence that the LEA has NOT made students' IEPs accessible to all individuals responsible for their implementation.</p>				<p>The LEA must develop a plan, policy or practice to ensure that all individuals responsible for the implementation of IEPs have access to students' IEPs.</p> <p>OSSE must confirm that the LEA is correctly implementing the specific regulatory requirement (i.e., achieved 100% compliance) based on a review of updated data.</p>
DAT – 4 §300.211	The LEA has entered all students who have been referred to special education into SEDS.	<p><b>Yes</b> = All files reviewed are entered into SEDS.</p> <p><b>No</b> = The record(s) of one or more students referred to special education do not appear in SEDS.</p>				<p>LEA must develop and implement a plan that addresses timely data entry.</p> <p>OSSE must confirm that the LEA is correctly implementing the specific regulatory requirement (i.e., achieved 100% compliance) based on a review of updated data.</p>

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<p>DAT – 5 §300.211</p>	<p>The LEA responds to requests for data in a timely manner.</p>	<p><b>Yes</b> = The LEA provides data submissions within the timelines prescribed in OSSE's data submission calendar.</p> <p><b>No</b> = The LEA provided at least one data submission outside of the timeline prescribed in OSSE's data submission calendar.</p>			<p>The LEA must develop a plan, policy or practice to ensure timely data submissions.</p> <p>OSSE must confirm that the LEA is correctly implementing the specific regulatory requirement (i.e., achieved 100% compliance) based on a review of updated data.</p>
<p>DSP – 6 OSSE State Complaint Policy</p>	<p>The LEA provides information to OSSE regarding State complaints within 10 days of request.</p>	<p><b>Yes</b> = State complaint files document receipt of information within 10 days of request.</p> <p><b>No</b> = State complaint files do NOT document receipt of information within 10 days of request.</p> <p><b>NA</b> = No State complaints have been filed against the LEA.</p>			<p>LEA must develop and implement a plan that addresses timely compliance with dispute resolution activities.</p> <p>Provide documentation of the above to OSSE.</p>
<p>DSP – 7 §300.600(e)</p>	<p>The LEA timely implements corrective actions contained in the State complaint decision letter.</p>	<p><b>Yes</b> = State complaint files document timely correction of noncompliance identified in the decision letter.</p> <p><b>No</b> = State complaint files do NOT document timely correction of noncompliance identified in the decision letter.</p> <p><b>NA</b> = No State complaints have been filed against the LEA.</p>			<p>LEA must develop and implement a plan that addresses timely compliance with dispute resolution activities.</p> <p>Provide documentation of the above to OSSE.</p>
<p>NIM – 8 §300.172</p>	<p>The LEA provides instructional materials to blind students or other students with print disabilities.</p>	<p><b>Yes</b> = The LEA coordinates with NIMAC or provided documentation that blind students or other students with print disabilities receive instructional materials in a timely manner.</p> <p><b>No</b> = The LEA does NOT coordinate with NIMAC OR did NOT provide documentation that blind students or other students with print disabilities receive instructional materials in a timely manner.</p> <p><b>NA</b> = The LEA does not serve blind students or other students with print disabilities.</p>			<p>LEA must provide documentation of communication with NIMAC or documentation of providing students with instructional materials.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 9 §80.20</p>	<p>The LEA has a policy/procedure governing the preparation and approval of budgets and budget amendments for all funds.</p>	<p><b>Yes</b> = The LEA has demonstrated that it has such a policy/procedure.</p> <p><b>No</b> = The LEA has NOT demonstrated that it has such a policy/procedure.</p>			<p>The LEA must develop policy/procedure for governing the preparation and approval of budgets and budget amendments for all funds.</p> <p>Provide documentation of the above to OSSE.</p>

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<p>FIS – 10 §§80.36(b)(1), (b)(2)</p>	<p>The LEA has procurement policies/procedures which conform to applicable Federal law and regulations and a contract administration system in place which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.</p>	<p><b>Yes</b> = The LEA has demonstrated that it has procurement policies/procedure (standards) aligned with 34 CFR §§80.36(b)(1) and (b)(2).</p> <p><b>No</b> = The LEA has NOT demonstrated that it has procurement policies/procedure (standards) aligned with 34 CFR §§80.36(b)(1) and (b)(2).</p>			<p>The LEA must develop policies/procedures that conform to applicable Federal, state and local laws and regulations that shows the LEA has a contract administration system in place which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders including ensuring that grant funds are used for allowable costs.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 11 OSSE GAN</p>	<p>The LEA has policies and procedures that ensure expenditures in the IDEA Reimbursement Workbooks (RW) are reviewed to ensure that expenses align to its approved grant application, IDEA, and OMB Circular A-87.</p>	<p><b>Yes</b> = The LEA has demonstrated that it has a policy/procedure to ensure expenditure approval in IDEA RW.</p> <p><b>No</b> = The LEA has NOT demonstrated that it has policy/procedure to ensure expenditure approval in IDEA RW.</p>			<p>The LEA must develop policy/procedure that ensures expenditures included in the IDEA RW are reviewed and approved by the appropriate grant director/supervisor before the RW is submitted.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 12 §80.23</p>	<p>The LEA has documentation sufficient to determine whether federal funds were obligated and reimbursement was sought within the approved grant period.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that it obligated IDEA expenditures within the appropriate grant period.</p> <p><b>No</b> = Based on the sample tested, the LEA has NOT demonstrated that it obligated IDEA expenditures within the appropriate grant period.</p>			<p>The LEA must submit to OSSE evidence of tracking the following: awarded amount for each grant it receives, grant availability period, date of reimbursements requests submitted, dates of obligation periods. The LEA must also submit to OSSE invoices for expenditures incurred within the correct grant period, that equate to the amount deemed to be allowable. These invoices must not have been paid for by any other federal funding source previously.</p>
<p>FIS – 13 §80.42 GEPA</p>	<p>The LEA retains financial records and relevant supporting documentation for the required time period, which is 5 years.</p>	<p><b>Yes</b> = The LEA has demonstrated that is has a records retention policy that ensures financial records are retained for 5 years.</p> <p><b>No</b> = The LEA has NOT demonstrated that is has a records retention policy that ensures financial records are retained for 5 years.</p>			<p>The LEA must develop policy/procedure that ensures financial records are retained for 5 years.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 14 §80.32</p>	<p>The LEA has (controls) policies/procedures protect equipment acquired with IDEA funds costing more than \$5,000.</p>	<p><b>Yes</b> = The LEA has demonstrated that it has (controls) policies/procedures in place to protect assets acquired with federal funds costing more than \$5,000.</p> <p><b>No</b> = The LEA has NOT demonstrated that it has (controls) policies/procedures in place to protect assets acquired with federal funds costing more than \$5,000.</p>			<p>The LEA must develop policy/procedure that ensures all assets procured with federal funds are protected, particularly those assets costing more than \$5,000. If applicable, an inventory list must be submitted by the LEA.</p> <p>Provide documentation of the above to OSSE.</p>

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<p>FIS – 15 §80.36(b)</p>	<p>The LEA maintains a code of conduct standard/conflict of interest policy for employees involved in the administration of contracts.</p>	<p><b>Yes</b> = The LEA has demonstrated that it has code of conduct/conflict of interest policies/procedures. <b>No</b> = The LEA has NOT demonstrated that it has code of conduct/conflict of interest policies/procedures.</p>			<p>The LEA must develop code of conduct/conflict of interest policy for employees involved in the administration of contracts.  Provide documentation of the above to OSSE.</p>
<p>FIS – 16 §80.20</p>	<p>The LEA has an accounting record that ensures federal funds are not co-mingled.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that federal funds are not co-mingled. <b>No</b> = Based on the sample tested, the LEA has NOT demonstrated federal funds are not co-mingled.</p>			<p>The LEA must develop policy/procedure that ensures federal grant funds are not co-mingled.  Provide documentation of the above to OSSE.</p>
<p>FIS – 17 §80.20</p>	<p>The LEA accurately tracks expenditures assigned to each of its IDEA grants, applicable budgets and set-asides.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that it accurately tracks expenditures and records revenue received from its IDEA grants at a detailed level. <b>No</b> = Based on the sample tested, the LEA has NOT demonstrated that it accurately tracks expenditures OR that it records revenue received from its IDEA grants at a detailed level.</p>			<p>The LEA must develop policy/procedure that ensures expenditures are accurately tracked.  Provide documentation of the above to OSSE.</p>
<p>FIS – 18 OMB Circular A-87</p>	<p>The LEA appropriately charges salaries of personnel working on IDEA grant objectives and are supported with IDEA grant funds.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that salaries are appropriately charged to its IDEA grant programs. <b>No</b> = Based on the sample tested, the LEA has NOT demonstrated that salaries are appropriately charged to its IDEA grant programs. <b>NA</b> = The LEA did not use IDEA grant funds for salaries.</p>			<p>The LEA must develop policy/procedure that ensures salaries of personnel who are paid with grant funds are charged appropriately.  Provide documentation of the above to OSSE.</p>
<p>FIS – 19 OMB Circular A-87</p>	<p>The LEA appropriately tracks the time and effort of personnel who are supported by IDEA grant funds.</p>	<p><b>Yes</b> = Based on the sample tested, The LEA has demonstrated it keeps the appropriate time and effort records for personnel working on IDEA cost objectives. <b>No</b> = Based on the sample tested, the LEA has NOT demonstrated it keeps the appropriate time and effort records for personnel working on IDEA cost objectives. <b>NA</b> = The LEA did not use IDEA grant funds for personnel.</p>			<p>The LEA must maintain either Semi-Annual Certifications or Personnel Activity Reports (PARs) for all employees paid out of federal funds.  Provide documentation of the above to OSSE.</p>
<p>FIS – 20 §80.20(b)(6)</p>	<p>The LEA has source documentation for items it purchased and sought reimbursement for from IDEA funds.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has verified it purchased and received the items it sought IDEA reimbursement for in the IDEA RW. <b>No</b> = Based on the sample tested, the LEA has NOT verified it purchased and received the items it sought IDEA reimbursement for in the IDEA RW. <b>NA</b> = Based on the sample tested, the LEA has not used any IDEA funds for non-personnel expenditures.</p>			<p>The LEA must (1) submit invoices to OSSE for allowable expenditures that equate to the amount deemed allowable; and (2) include proof of payment documentation for all items included in the sample request.  Provide documentation of the above to OSSE.</p>

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<p>FIS – 21 §80.36</p>	<p>The LEA has followed procurement procedures consistent with EDGAR and OMB Circular A-87 for developing and awarding contracts for services, supplies, and materials.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that it followed the appropriate procurement procedures for developing and awarding contracts.</p> <p><b>No</b> = Based on the sample tested, the LEA has NOT demonstrated that it followed the appropriate procurement procedures for developing and awarding contracts.</p> <p><b>NA</b> = The LEA did not use IDEA grant funds for contracts for services, supplies or materials.</p>			<p>The LEA must submit contracts for all vendors listed under Contractual Services on the sample request to OSSE. The contracts must (1) cover the date range of the expenditures listed on the sample, and (2) be signed by all representing parties responsible for the contract.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 22 §80.20 &amp; OMB Circular A-87</p>	<p>The LEA has followed procedures consistent with IDEA, EDGAR, and OMB Circular A-87 to ensure that IDEA funds were expended only for allowable activities.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that only allowable costs were charged to its IDEA grants.</p> <p><b>No</b> = Based on the sample tested, the LEA has NOT demonstrated that only allowable costs were charged to its IDEA grants.</p>			<p>The LEA must (1) submit invoices to OSSE for allowable expenditures that equate to the amount deemed allowable; and (2) include invoices and proof of payment documentation for all items included in the sample request.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 23 §80.20 &amp; OSSE GAN</p>	<p>The LEA correctly paid and retained invoices for expenditures it included in its IDEA RW.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that it correctly reviewed, paid, and retained records of invoices for expenditures included in its RW.</p> <p><b>No</b> = Based on the sample tested, the LEA has NOT demonstrated that it correctly reviewed, paid, and retained records of invoices for expenditures included in its RW.</p> <p><b>NA</b> = Based on the sample tested, the LEA was not required to retain invoices.</p>			<p>The LEA must (1) submit invoices to OSSE for allowable expenditures that equate to the amount deemed allowable; and (2) include invoices and proof of payment documentation for all items included in the sample request.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 24 OMB Circular A-87</p>	<p>The LEA procured, utilized, and charged construction expenses to its IDEA grants in a manner consistent with its approved application, EDGAR, Curricular A-87, and IDEA ARRA guidance.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that it procures, utilizes, and charges construction expenses to its IDEA grants appropriately.</p> <p><b>No</b> = Based on the sample tested, the LEA has NOT demonstrated that that it procures, utilizes, and charges construction expenses to its IDEA grants appropriately.</p> <p><b>NA</b> = LEA has not used IDEA funds for construction.</p>			<p>The LEA must submit documents for the construction project paid for with IDEA funds.</p>

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<p>FIS – 25 §300.226 &amp; §300.646</p>	<p>The LEA utilized IDEA funds for providing Coordinated Early Intervening Services (CEIS) for appropriate uses.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA demonstrated that it utilized the CEIS funds for appropriate uses.</p> <p><b>No</b> = Based on the sample tested, the LEA has NOT demonstrated that it utilized the CEIS funds for appropriate uses.</p> <p><b>NA</b> = The LEA was not required to or did not opt to reserve funds for CEIS.</p>				<ul style="list-style-type: none"> <li>• <b>Voluntary Elections</b> - the LEA must modify its existing budgets and spending plans.</li> <li>• <b>Required Election</b> – the LEA must report on CEIS expenditures in the designated area of the fiscal workbook.</li> </ul>
<p>FIS – 26 §300.226(d)</p>	<p>The LEA is properly tracking students who receive CEIS.</p>	<p><b>Yes</b> = The LEA demonstrated that it tracks the number of students who received CEIS and the number of students who subsequently received special education.</p> <p><b>No</b> = The LEA did NOT demonstrate that it tracks the number of students who received CEIS OR the number of students who subsequently received special education.</p> <p><b>NA</b> = The LEA was not required to or did not opt to reserve funds for CEIS.</p>				<p>The LEA has a policy/procedure to track students receiving CEIS and subsequent special education services for two years and the LEA can demonstrate that they have begun tracking students who received CEIS (if applicable).</p>
<p>FIS – 27 §300.134</p>	<p>The LEA has undergone timely meaningful consultation with private school representatives and representatives of parents of parentally-placed private school students with disabilities.</p>	<p><b>Yes</b> = The LEA has documentation that it engaged in meaningful consultation with representatives as required.</p> <p><b>No</b> = The LEA has NOT documented meaningful consultation with representatives as required.</p> <p><b>NA</b> = LEA not required to engage in consultation.</p>				<p>The LEA must provide documentation of meaningful consultation regarding child find, proportionate share, consultation process and provision of services (including written explanation if needed).</p>
<p>FIS – 28 §300.134</p>	<p>The LEA has sought reimbursement for serving parentally placed students with disabilities in private schools in a manner consistent with IDEA.</p>	<p><b>Yes</b> = Based on the sample tested, the LEA has sought reimbursement for Equitable Services as required.</p> <p><b>No</b> = Based on the sample tested, the LEA has NOT sought reimbursement for Equitable Services as required.</p> <p><b>NA</b> = The LEA is not responsible for serving parentally placed students with disabilities in private schools in a manner consistent with IDEA.</p>				<p>The LEA must submit documentation / certifications showing that meaningful consultation occurred between the LEA and private school(s).</p>

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<p>FIS – 29 §300.203</p>	<p>The LEA did not reduce its level of expenditures for the education of students with disabilities made from state and local funds below the level of expenditures for the preceding fiscal year.</p>	<p><b>Yes</b> = The LEA has provided supporting documentation necessary to demonstrate that it has not reduced its level of expenditures for the education of students with disabilities made from state and local funds below the level of expenditures for the preceding fiscal year.</p> <p><b>No</b> = The LEA has NOT provided supporting documentation necessary to demonstrate that it has not reduced its level of expenditures for the education of students with disabilities made from state and local funds below the level of expenditures for the preceding fiscal year.</p> <p><b>NA</b> = The LEA was not operating in the preceding fiscal year.</p>				<p>The LEA must provide OSSE with local funds in the amount of the reduction that does not qualify for an exception under §300.204 or an adjustment under §300.205.</p>
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