

**ATTACHMENT B**

**LOCAL EDUCATIONAL AGENCY MONITORING PROTOCOL**

**STATE FISCAL STABILIZATION FUND PROGRAM**

**LEA:** \_\_\_\_\_ **Date(s) of Review:** \_\_\_\_\_

**State:** \_\_\_\_\_

**LEA Representatives:**

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**Department Representatives:**

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**I. Local educational agency (LEA) applications**

**ISSUE: Whether the State has established appropriate application procedures for awarding Education Stabilization funds to LEAs.**

*Guiding Questions*

1. Did the State require your LEA to submit an application as required by 34 C.F.R. 76.301 prior to providing your allocation under the Education Stabilization Fund?
  
2. Did the application include all the assurances required under Section 442 of GEPA?
  
3. Did the State require your LEA to submit an application for funding in subsequent fiscal years? (Optional) If so, what information was required in subsequent applications?

4. Did the application request information on your proposed use of Education Stabilization funds? (Optional) If so, what information was requested?
  
5. Did the State condition your receipt of funds on meeting any other requirements?
  
6. Did the application request information on how your LEA would make progress on the four education reform assurances? (Optional)
  
7. When did the State make applications available to you?
  
8. What guidance did the State initially provide to you?
  
9. Did the State provide you with a description of its State procedures for reviewing LEA applications?
  
10. Did you receive notice that your application was approved prior to receiving funding?

*Evidence/Documentation*

- a. LEA application.
- b. Notification of approval of application. (If applicable)

## **II. Allocations to LEAs**

**ISSUE: Whether the State has allocated Education Stabilization Funds to LEAs in accordance with statutory requirements.**

### *Guiding Questions*

1. What was your LEA's Education Stabilization Fund allocation for school years 2008-09 and 2009-10? (Inquire about subsequent years during later reviews.)
  
2. When was your LEA notified of its SFSF allocation amount?
  
3. When were the funds first released to you?
  
4. Did you receive the funds on a regular schedule? If so, what is that schedule (e.g., monthly, quarterly)?
  
5. Has the State made any adjustments to your Education Stabilization Fund allocation?
  
6. Have you received any Government Services funds? If so, what was the amount? How have you used such funds?

### *Evidence/Documentation*

- a. Grant award notification from the State for Education Stabilization funds.
- b. Grant award notification from the State for State funds.

### **III. Fiscal Oversight of SFSF Funds**

**ISSUE: Whether the LEA has established appropriate policies and procedures for ensuring fiscal oversight of SFSF funds.**

#### *Guiding Questions*

1. What internal controls does your LEA have in place to ensure that SFSF expenditures are allowable? (See April 2009 SFSF Guidance at III-D for information on allowable and prohibited uses of SFSF funds by LEAs.)
2. What specific projects or activities did your LEA support with SFSF funds?
3. How does your LEA ensure that it complies with the requirements of the Cash Management Improvement Act (CMIA)?
4. Does your financial recordkeeping system properly account for the use of SFSF funds?
5. What guidance have you received from the State regarding the obligation and drawing down of SFSF funds?
6. Did you receive authorization to use SFSF funds for preaward costs? Did you use funds for preaward costs during the approved period?
7. What steps are you taking to ensure compliance with the cross-cutting ARRA requirements (e.g., Section 1512 reporting, Buy American, infrastructure certification)?

#### *Evidence/Documentation*

- a. Policies and procedures regarding obligations and expenditures.
- b. Financial management policies and procedures.
- c. Policies and procedures on compliance with CMIA requirements.
- d. Policies and procedures on compliance with cross-cutting ARRA requirements.

#### **IV. Progress in Four Education Reform Areas**

**ISSUE: Whether the LEA is assisting the State in making progress in: (a) achieving equity in the distribution of qualified teachers; (b) improving collection and use of data; (c) enhancing the quality of standards and assessments; and (d) supporting struggling schools.**

##### *Guiding Questions*

1. How is the LEA assisting the State in making progress in each of the four reform areas?

##### *Evidence/Documentation*

- a. Documentation demonstrating assistance in making progress on assurances.

#### **V. Subrecipient Monitoring**

**ISSUE: Whether the LEA has cooperated with the State during the monitoring process.**

##### *Guiding Questions*

1. Have you been monitored by the State? If so, when? If not, have you been notified of when you will be monitored?
2. Did the State provide you with a copy of its monitoring instruments?
3. If you have been monitored by the State, what issues did the State discuss during its monitoring? What recommendations did the State make?

4. What actions have you taken in response to any monitoring recommendations?

*Evidence/Documentation*

- a. Copy of monitoring report from State.
- b. Documentation evidencing actions taken in response to monitoring recommendations.

## **VI. Reporting**

**ISSUE: Whether the LEA has cooperated with the State in complying with all reporting requirements.**

*Guiding Questions*

1. What guidance on reporting has the State provided to you?
2. What information has the State required you to provide so that it may comply with applicable reporting requirements?

*Evidence/Documentation*

- a. Reporting guidelines and protocols.
- b. Documentation for data provided in Section 1512 quarterly reports.