

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
			<p><b>Were at least five (5) student files reviewed for this LEA?</b></p> <p><b>Yes</b>= 5 or more student files were reviewed for this LEA</p> <p><b>No</b>= Fewer than 5 student files were reviewed for this LEA</p>	
Initial Evaluation and Reevaluation	<b>§300.300(c)(1)</b>	1 Parent Consent for Reevaluation	<p><b>Parental consent was obtained to conduct reevaluations.</b></p> <p><b>Yes</b> = LEA student file review demonstrates a compliance rate of 80% or higher</p> <p><b>No</b> = LEA student file review demonstrates a compliance rate of less than 80%.</p> <p><b>N/A</b>= No reevaluations were included in the monitoring sample</p>	<p>1. The LEA must develop a policy that states that the LEA will seek parent consent for reevaluation in accordance with 34 CFR §300.300(c)(1).</p> <p>2. The LEA must provide evidence that all special education staff have been trained on the policy</p>
Discipline	<b>§300.530(h), 300.536</b>	2 Parent Notified of Change of Placement	<p><b>On the date that a decision was made to make a removal that constitutes a change of placement, the parents were notified.</b></p> <p><b>Yes</b> = LEA student file review demonstrates a compliance rate of 80% or higher</p> <p><b>No</b> = LEA student file review demonstrates a compliance rate of less than 80%.</p>	<p>1. The LEA must develop a policy that states that the LEA will notify parents on the date that a removal constituting a change in placement is made in accordance with 34 CFR §300.530 (h); 300.536).</p> <p>2. The LEA must provide evidence that all special education staff have been</p>

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
			<p><b>N/A=</b> No removals constituting changes in placement were included in the monitoring sample</p>	<p>trained on the policy</p>
Extended School Year	<p><b>§300.106(a)(3)</b></p>	<p><b>3 ESY Limited Based on Disability</b></p>	<p><b>LEA provides ESY to students of any disability category, based on need.</b></p> <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>
Least Restrictive Environment (LRE)	<p><b>§300.115</b></p>	<p><b>4 Continuum of Alternative Placements</b></p>	<p><b>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.</b></p> <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</p>	<p>The LEA must develop a plan to provide a continuum of alternative placements consistent with the regulatory requirement.</p>

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
			<p>policies, procedures or interviews, that the LEA has NOT made available educational placements along all points of the continuum.</p>	
Individual Education Program (IEP)	§300.323(d)(1)	5 IEP Accessibility	<p><b>The LEA ensures that student's IEPs are accessible to all who are responsible for their implementation (regular education teachers, special education teachers, related service providers).</b></p> <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>	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.
Data	§300.211	6 Students Referred to Special Education Entered Into SEDS	<p><b>The LEA has entered all students who have been referred to special education into SEDS.</b></p> <p><b>Yes</b> = All files reviewed were found in SEDS.</p> <p><b>No</b> = The record(s) of one or more students referred to special education do not appear in SEDS.</p>	LEA must develop and implement a plan that addresses timely data entry.

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Data	§300.211	<b>7 LEA Timely Response to Data Requests</b>	<p><b>The LEA responds to requests for data in a timely manner.</b></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>	The LEA must develop a plan, policy or practice to ensure timely data submissions.
Dispute Resolution	<b>OSSE State Complaint Policy</b>	<b>8 LEA Provides Information on State Complaints</b>	<p><b>The LEA provides information to OSSE regarding State complaints within 10 days of request.</b></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>	LEA must develop and implement a plan that addresses timely compliance with dispute resolution activities. Provide documentation of the above to OSSE.

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Dispute Resolution	§300.600(e)	9 LEA Timely Implements Corrective Actions	<p><b>The LEA timely implements corrective actions contained in the State complaint decision letter.</b></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>
NIMAS	§300.172	10 LEA Provision of Instructional Materials	<p><b>The LEA provides instructional materials to blind students or other students with print disabilities.</b></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>LEA must provide documentation of communication with NIMAC or documentation of providing students with instructional materials.</p>

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
			<p><b>NA</b> = The LEA does not serve blind students or other students with print disabilities.</p>	
Fiscal	<b>§80.20</b>	<b>11 LEA Policy/Procedure Governing Budgets</b>	<p><b>The LEA has a policy/procedure governing the preparation and approval of budgets and budget amendments for all funds.</b></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>

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	§§80.36(b)(1), (b)(2)	12 LEA Procurement Policy/Procedure For Contractor Performance	<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>

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	OSSE GAN	13 LEA Policies/Procedures to Ensure Expenditure Approval in IDEA RW	<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>	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.
Fiscal	§80.23	14 LEA Documentation of Obligation/Reimbursement of Federal Funds Within Grant Period	<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>	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.



## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	GEPA	15 LEA Retention of Financial Records For 5 Years	<p><b>The LEA retains financial records and relevant supporting documentation for the required time period, which is 5 years.</b></p> <p><b>Yes</b> = The LEA has demonstrated that it 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 it has a records retention policy that ensures financial records are retained for 5 years.</p>	The LEA must develop policy/procedure that ensures financial records are retained for 5 years.
Fiscal	§80.32	16 LEA (Controls In Place) Policies/Procedures To Protect Assets Over \$5,000	<p><b>The LEA has (controls) policies/procedures in place to protect equipment acquired with IDEA funds costing more than \$5,000.</b></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>	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.

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	§80.36(b)	17 LEA Code of Conduct For Employees Administering Contracts	<p><b>The LEA maintains a code of conduct standard/conflict of interest policy for employees involved in the administration of contracts.</b></p> <p><b>Yes</b> = The LEA has demonstrated that it has code of conduct/conflict of interest policies/procedures.</p> <p><b>No</b> = The LEA has NOT demonstrated that it has code of conduct/conflict of interest policies/procedures.</p>	The LEA must develop code of conduct/conflict of interest policy for employees involved in the administration of contracts.
Fiscal	§80.20	18 LEA Accounting Record to Ensure Federal Funds Not Co-Mingled	<p><b>The LEA has an accounting record that ensures federal funds are not co-mingled.</b></p> <p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that federal funds are not co-mingled.</p> <p><b>No</b> = Based on the sample tested, the LEA has <b>NOT</b> demonstrated federal funds are not co-mingled.</p>	The LEA must develop policy/procedure that ensures federal grant funds are not co-mingled.

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	<b>§80.20</b>	<b>19 LEA Accurately Tracks IDEA Expenditures/ Set-asides</b>	<p><b>The LEA accurately tracks expenditures assigned to each of its IDEA grants, applicable budgets and set-asides.</b></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.</p> <p><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>	The LEA must develop policy/procedure that ensures expenditures are accurately tracked.
Fiscal	<b>OMB Circular A-87</b>	<b>20 LEA Appropriately Charges Salaries to IDEA Grant Programs</b>	<p><b>The LEA appropriately charges salaries of personnel working on IDEA grant objectives and are supported with IDEA grant funds.</b></p> <p><b>Yes</b> = Based on the sample tested, the LEA has demonstrated that salaries are appropriately charged to its IDEA grant programs.</p> <p><b>No</b> = Based on the sample tested, the LEA has NOT demonstrated that salaries are appropriately charged to its IDEA grant programs.</p> <p><b>NA</b> = The LEA did not use IDEA grant funds for salaries.</p>	The LEA must develop policy/procedure that ensures salaries of personnel who are paid with grant funds are charged appropriately.

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	<b>OMB Circular A-87</b>	<b>21 LEA Tracks Personnel Supported by IDEA Grant Funds</b>	<p><b>The LEA appropriately tracks the time and effort of personnel who are supported by IDEA grant funds.</b></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.</p> <p><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.</p> <p><b>NA</b> = The LEA did not use IDEA grant funds for personnel.</p>	The LEA must maintain either Semi-Annual Certifications or Personnel Activity Reports (PARs) for all employees paid out of federal funds.
Fiscal	<b>§80.20(b)(6)</b>	<b>22 LEA Has Source Documentation for Purchased Items/IDEA Funds Reimbursement</b>	<p><b>The LEA has source documentation for items it purchased and sought reimbursement for from IDEA funds.</b></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.</p> <p><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.</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.

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
			<p><b>NA</b> = Based on the sample tested, the LEA has not used any IDEA funds for non-personnel expenditures.</p>	
Fiscal	<b>§80.36</b>	<b>23 LEA Followed Procurement Procedures</b>	<p><b>The LEA has followed procurement procedures consistent with EDGAR and OMB Circular A-87 for developing and awarding contracts for services, supplies, and materials.</b></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>

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	§80.20, OMB Circular A-87	24 LEA Follows Procedures to Ensure Expenditure of IDEA Funds on Allowable Activities	<p><b>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.</b></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>	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.
Fiscal	§80.20, OSSE GAN	25 LEA Correctly Paid and Retained Invoices for Expenditure in IDEA RW	<p><b>The LEA correctly paid and retained invoices for expenditures it included in its IDEA RW.</b></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>	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.

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	OMB Circular A-87	26 LEA Correctly Procures, Utilizes and Charges Construction Expenses	<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 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>	The LEA must submit documents for the construction project paid for with IDEA funds.

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	§§300.226, 300.646	27 LEA Utilizes IDEA Funds for Providing CEIS	<p><b>The LEA utilized IDEA funds for providing Coordinated Early Intervening Services (CEIS) for appropriate uses.</b></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>	<p><b>Voluntary Elections:</b> the LEA must modify its existing budgets and spending plans.</p> <p><b>Required Election:</b> the LEA must report on CEIS expenditures in the designated area of the fiscal workbook.</p>
Fiscal	§300.226(d)	28 LEA Properly Tracks Students Who Receive CEIS	<p><b>The LEA is properly tracking students who receive CEIS.</b></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>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>



## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
			<p><b>NA</b> = The LEA was not required to or did not opt to reserve funds for CEIS.</p>	
Fiscal	§300.134	<p><b>29 LEA Consultation with Rep/Parent of Parentally-placed Students in Private Schools</b></p>	<p><b>The LEA has undergone timely meaningful consultation with private school representatives and representatives of parents of parentally-placed private school students with disabilities.</b></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>

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	§300.134	<p><b>30 LEA Seeks Reimbursement for Serving Parentally-placed Students with Disabilities in Private Schools</b></p>	<p><b>The LEA has sought reimbursement for serving parentally placed students with disabilities in private schools in a manner consistent with IDEA.</b></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>

## OSSE LEA Compliance Monitoring Tool SY2014-15

Cluster Area for Compliance Summary Report	Legal Reference	Monitoring Item	Item/Response Criteria	Corrective Action
Fiscal	§300.203	31 LEA Reduction of Expenditures for the Education of Students with Disabilities	<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>